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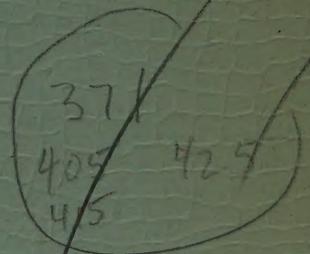
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H. M. Patel
S. Lall

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SOME ADMINISTRATIVE PROBLEMS OF INTERNATIONAL LAW*

Quincy Wright

INTERNATIONAL law, as you know, is mainly a law between sovereign States, and States are very difficult things to administer. Being sovereign, they are touchy. They do not like to be told what they should do. Consequently the administration of international law presents problems of peculiar difficulty. Administration has been defined as the management of men and materials to achieve desired ends. Some may say that the management of states is not administration but politics. Even if this is true, each state has the responsibility of administering international law in its own territory if it is to avoid reclamations by other states.

International law, however, though mainly between States, extends to relations of individuals at opposite sides of national boundaries, to relations of individuals with States under the recent conceptions of "human rights", and to relations of individuals with international organizations, especially individuals on the staff of these organizations or inhabiting internationally administered territories. Such relations are dealt with by legal disciplines called "transnational law",¹ "Conflict of laws",² "World law"³ and "United Nations law",⁴ but are aspects of "international law" in a broad sense. There are therefore a variety of problems which may be spoken of as administrative problems in international law.

I am going to discuss briefly five such problems. The first is national administration of international law. How do States arrange

* Text of a lecture delivered at the I.I.P.A. on September 10, 1958.

1. Philip C. Jessup, *Transnational Law*, New Haven, 1956.

2. In civil law countries this is called 'Private International Law'.

3. Louis Sohn, *Cases and other Materials on World Law*, Brooklyn, 1950; Saburo Yamada, ed., *Natural Law and World Law*, Essays in honour of Kotaro Tanaka, Chief Justice of the Supreme Court of Japan, Yuhikaku, 1954.

4. Louis Sohn, *Cases on United Nations Law*, Brooklyn, 1956.

for the observance of international law each within its own jurisdiction? The second may be called indirect international administration—How do international organizations induce States to administer international law? The third may be called direct international administration—How do international organizations administer territories in which they have special responsibilities such as Trusteeship territories? The fourth is international administrative law—How do international organizations administer their own staffs? and that, perhaps, is the problem which comes nearest to public administration in the usual sense. The fifth is the co-ordination of international agencies—How can the activities of different international organizations be co-ordinated with one another?

NATIONAL ADMINISTRATION OF INTERNATIONAL LAW

Taking up the first of these, the administration of international law by States, we observe that the State is a very complicated organism. Many of the civil servants of a State and a larger proportion of its citizens have never heard of international law. States may inadvertently violate international law through acts of their officers or of individuals within their territories. Of course, primary responsibility for administering international law is vested in the supreme government of the State, the "representative organ",⁵ to which other States, injured by such negligence, as well as by intentional action, may make complaints. Because of this responsibility, nearly all States, make provision for assuring that they will not violate international law inadvertently. One finds in the legislation of nearly all States provisions for the protection of diplomatic officers, for the prevention of unauthorized military expeditions leaving the State's territories, for the observance of international law by courts in cases dealing with aliens, and so forth. In the United States for example there is a code of "offences against the law of nations" which provides punishment for many of these offences.⁶ By such legislation the State assures that it will not inadvertently violate international law through the action of individuals within its jurisdiction.

In many States direct judicial application of international law is possible. There has been much discussion whether national courts ought to apply international law and treaties directly. The doctrine applied by the Supreme Court of the United States for many years was that international law is part of the law of the land and the courts apply it in appropriate cases, provided there is no clear legislation to

5. Quincy Wright, *The Control of American Foreign Relations*, New York, 1922, p. 15.

6. *Ibid.* pp. 179ff.

the contrary. In the famous case of the *Paquete Habana*,⁷ the court took this position, and the case books are full of cases in which the courts of the United States and other countries have applied international law.

It may be noticed that in national courts, international law is not the highest authority. The principle of national sovereignty means that if the highest legislative authority passes an Act which violates international law, the courts will have to apply that act. There has been much discussion of this problem which is known among jurists as the problem of "Monism" and "Dualism".⁸ There are internationalists who say that international law is supreme all over the world, that courts must apply that law, and declare that any statute of their country contrary to that law is null and void. In practice, however, national courts do not do that although international courts do. National courts are creations of the nation and they have to apply the legislation of the highest national authority, although they will usually attempt to interpret that legislation as being in accordance with international law. They assume that the legislature did not intend to violate international law.⁹ In the case of the *American Banana Company vs. the United Fruit Company*,¹⁰ the Supreme Court of the United States was asked to apply the Sherman anti-Trust Law to end a monopoly or restraint of trade which was alleged to have been established by the United Fruit Company in the State of Costa Rica. The court recognized that this legislation provided that *all* combinations in restraint of trade should be penalised, but the term "all", it said, must be construed according to the usual understanding of international law, that the legislation of a State extends only to its own territory, and consequently it could not reach out to punish the alleged combination in the independent State of Costa Rica. The court has subsequently made some modifications of this principle, and has held that actions in foreign countries which seek to violate the Anti-Trust Law within the United States may be subjected to penalty if the individuals involved are within the United States.

Many countries do not apply this principle of automatic incorporation of international law in national law. Their courts hold that international law can be applied only in so far as specific legislation has been passed giving national effect to the rule of international law in question. This principle imposes a burden on legislative bodies to

7. 175 U. S. 677; Wright, *op. cit.*, p. 171.

8. Ruth D. Masters, *International Law in National Courts*, New York, Columbia University Press, 1932, pp. 11ff.

9. *Murray Vs. the Charming Betsey*, 2 Cranch 64, 118 (1804); Wright, *op. cit.*, p. 165, 175.

10. 219 U.S. 347 (1909).

pass the appropriate laws to assure that international law will be applied by the courts.

In addition to legislative and judicial action, international law may be maintained within the State by administrative action. Administrative officials within a nation ought to make suitable provisions for the protection of foreign embassies, for the protection of foreign sovereigns who may be travelling in the territories, etc. These are responsibilities which every State must discharge, but States are also bound to exercise due diligence to protect aliens in the territory. If the State neglects to provide for suitable protection to aliens or denies them justice in its courts it may be liable to pay reparation to the State of which the alien is a National.

A most important aspect in the administration of international law concerns action by the highest executive authority itself. That authority is less likely to violate international law, if the custom is established in foreign offices of always consulting the law officers before a decision is made. That seems to me perhaps the most important way through which the observance of international law can be assured. A few years ago, Lord McNair published the opinions of the law officers of the British Crown from 1652-1902. This exhibited the extent to which the British Foreign Office had had legal advice before it acted, in order that it might know whether a proposed decision was in accordance with international law or not. In the United States, there is a similar procedure. The Legal Adviser has a corps of 20 or more lawyers, and on every problem that comes up legal advice is asked. Now, of course, asking advice is one thing and following it is another. In McNair's compilation, the introduction noted that public access was not permitted to the opinions of the law officers after 1902. For 50 years or more such opinions are kept secret. Sometimes the opinions of law officers are not followed and naturally the Government does not want its diplomatic antagonist to be able to charge that it does not follow the opinion of its own law officers. The other point which Lord McNair made is that the opinions which he records do not indicate whether they were actually observed and he adds he did not explore diplomatic history to discover to what extent they were because he is not a diplomatic historian. Professor Percy Corbett has recently published a book entitled *Law in Diplomacy*, which deals with this point in respect to Great Britain, the United States and the Soviet Union. Governments do not like to take steps contrary to the opinion of their law officers, although, as Corbett indicates, they usually do if they think "vital national interests" require. The custom of consulting the law officers before a decision is made in the

Foreign Office is however important in preventing violations of international law through inadvertence.

INDIRECT INTERNATIONAL ADMINISTRATION

Now I come to problems which call indirect administration of international law by international organizations. These organizations, which have proliferated since the Universal Postal Union was established in 1870 and especially since the establishment of the League of Nations and the United Nations, seek to induce Governments to observe international law, particularly the rules which they have accepted in ratifying the constitution of the organization. International organizations, however, cannot generally coerce their members. The Charter of the United Nations provides that coercive authority can be used only in case a State has committed a breach of the peace, threat to the peace, or act of aggression. (Art. 39). Only when faced by these most serious violations of international law, arising from the principle of the Charter, which prohibits the use of force or threat of force (Art. 2, par. 4), can the United Nations even in theory exercise coercive power against States, and the theory is reduced in practice by the great power veto in the Security Council. This authority has, however, come into play a number of times. The Security Council, or if it fails to function the General Assembly, can issue cease-fire orders and call upon its members to apply armed force against a State which fails to observe such an order. Today cease fire lines exist in the middle of Germany, Korea, Vietnam, Kashmir and Palestine. These "temporary" cease fire lines some of which have been in existence more than a decade indicate that the United Nations and other international agencies are more successful in stopping hostilities than in settling the disputes which led to them.

The authority of international agencies is usually limited to recommendation. The UN General Assembly and Councils can make recommendations on the merits of controversies which are within the general scope of the Charter but these are not usually obligatory. Recommendations may be divided into two classes. The United Nations may recommend that a State observe an obligation of international law or treaty which it has neglected. Such a recommendation addressed to a particular State may be regarded as an "intervention". Intervention implies "dictatorial" interference, consequently a recommendation addressed to a particular State telling it what to do may be regarded as intervention even though no coercive action is threatened if it fails to conform. Consequently Article 2, paragraph 7, of the Charter, which states that the United Nations cannot intervene in a matter which is essentially within the domestic jurisdiction of a State, would be violated if the matter were domestic. This form of recommendation

can, therefore, be made only on matters which are not within the domestic jurisdiction of the State. What is the meaning of "domestic jurisdiction?" The principle is very simple. Every matter is within the domestic jurisdiction of a State except those which concern its international obligation. A State can not, in principle, give final judgment on its international obligations. So in determining the form of recommendation it is necessary to ask in the matter in hand, is the State under an international obligation of customary international law or treaty? If it is, then the United Nations is competent to make a recommendation directly to the State alleged to be delinquent. As you know, the General Assembly has made many recommendations in regard to the treatment by the South African Union of Indians and natives in South Africa, and the Union government has refused to pay attention to these recommendations on the ground that the treatment of persons within South Africa is a matter of its domestic jurisdiction and, therefore, the recommendations of the General Assembly are *ultra vires*. That argument raises the question whether the provisions of the Charter concerning Human Rights, and agreements which have been made between India and South Africa, constitute "international obligations." It might seem desirable to ask the opinion of the International Court of Justice on this question but that has never been done. So you have the situation of the General Assembly, time after time, passing a recommendation on this matter and South Africa, time after time, saying it can ignore the recommendation. The issue is a legal one and should be settled by the court.

The other kind of recommendation is of a general character, addressed to all members. The Economic and Social Council or the General Assembly may recommend a conference to codify the law of the seas, or recommend that States make treaties prohibiting genocide or protecting human rights, or that all States enact social security legislation. That sort of general recommendation, addressed to all Members of the United Nations or all of a special category, is not considered intervention. Consequently the General Assembly or the Council are not forbidden to make such recommendations by Art. 2, par. 7, even though the subject matter is within the domestic jurisdiction of States, and they do so very freely.

Such recommendations strictly speaking, do not concern the administration of international law. They may be recommendations for the improvement of international law. They may seek to support the purposes or the principles of the United Nations but not to enforce the obligations of the members.

Apart from recommendations, specific or general, the U.N. may exert 'influence' by discussion or diplomacy. States may fear that

influence and seek to prevent issues from being debated in United Nations organs. France for example, tried to prevent debate on the Algerian issue in 1955. It was so disturbed when the question was put on the agenda of the General Assembly that it withdrew its delegation, alleging that this matter was within its domestic jurisdiction. This action was considered by most members contrary to the spirit of the Charter, although in this case, France was induced to return its delegation by the Indian motion, to remove the Algerian issue from the agenda without prejudice. It was the general opinion, however, that discussion is not intervention.¹¹ Until a matter has been discussed it can not be known whether any resolution which might be proposed would involve international obligation. At the San Francisco Conference it was generally accepted that the United Nations should be free to discuss anything within the scope of the Charter. The influence of discussion, even if no recommendation emerged, would, it was thought, contribute to peace.

The other way of bringing influence is by diplomatic activity. The Secretary-General may discuss problems directly with the Governments and thus exert a very important influence. The scope of the Secretary-General's diplomatic powers is not fully set out in the Charter, but it may be inferred that he is competent to go to the capitals of the member-states and talk with them about the problems which may come before the U.N. If the members can send Ambassadors to the seat of the U.N., as they do, it would seem that the Secretary-General should be able to send an Ambassador to the capital of each member-state. In other words, the Secretary-General should have diplomatic access to all the Members of the U.N. Many people say this is inherent in his position as administrative head of the U.N. (Art. 97). Furthermore, the charter authorizes the Secretary-General to inform the Security Council of threats to peace (Art. 99), a function which may require such diplomatic contact. The Hungarian Government, however, refused to invite the Secretary-General to come to its territory to discuss the situation in 1956. Many thought Hungary was obligated under the Charter to welcome such a visit. This kind of influence may be very important as illustrated by Secretary-General Hammarskjold's visits to China, the Middle East and other areas in times of emergency.

There seems to have been some difference in the policy of the two Secretaries-General in this field. Trygve Lie's policy was to mobilize public opinion behind the U.N. when a crisis arose involving Charter principles. He suggested that the Communist government should

11. Quincy Wright, "Is Discussion Intervention?" *Am. Journ. Int. Law*, Jan. 1956, Vol. 50, p. 102.

represent China in the U.N. because it alone could discharge U.N. responsibilities in China. The U.S., however, was not in favour of this. When Korea was invaded, Trygve Lie came out definitely for the mobilization of U.N. forces against North Korea, and the Soviet Union was opposed to this. Mr. Lie's policy, therefore, continually got him into trouble with one Great Power or another. The Soviet Union eventually became so antagonist that it would not receive communications from him and he had to resign. Mr. Hammarskjold has been more cautious. While there might be occasions for mobilising public opinion behind U.N. principles, he has considered his main job to adjust differences and to do this he must win the confidence of all the Great Powers by a reputation for impartiality. The capacity of the Secretary-General to conciliate, to mediate, and to negotiate is important but the capacity to mobilize public opinion behind the General Assembly Resolutions may also be important. These two functions may conflict, but in the situation of high international tension, the exertion of influence by the Secretary-General through conciliation may be more useful.

Apart from the diplomatic activity of the Secretary-General, the United Nations exerts influence by sending mediators or commissions of conciliation to disturbed areas to settle disputes as Ralph Bunche to the Middle East and Frank Graham to Indonesia and Kashmir. Some think that such conciliatory functions must be the main reliance of the U.N. in maintaining peace.

By making studies, publishing documents, broadcasting the results of these studies by specialists on such subjects as education, labour, trade, health, the U.N. and the Specialized Agencies can, in the long run, influence the behaviour of peoples and Governments because they realize that the national interest requires that the advice implied in this information be followed. This activity, however is an exertion of influence to promote co-operation for human welfare rather than an exertion of influence to maintain international law.

Other indirect modes of inducing States to observe international standards are to help them achieve what they want by technical assistance. U.N. policy is continually forwarded by technical assistance programmes. The International Bank can utilize this method with special effectiveness because it has funds at its disposal. The Bank has undoubtedly contributed to the solution of the Indus waters dispute between India and Pakistan. While this activity does not usually concern international law, technical assistance programmes have been authorized to assist States to carry out their obligations in respect to human rights.

Central Governments have often influenced States in federations by grants-in-aid. In the U.S., Congress usually makes such grants-in-aid, contingent on the observance of certain standards. There is no limit to the use of this method by the General Assembly, if its members will vote the appropriation.

Another method of inducement is through the work of commissions not to conciliate a dispute but to establish rules or standards. The League of Nations functioned through such commissions which consisted partly of administrative officials of the Governments concerned, and partly of international experts in the field. This is the procedure which Alexander Loveday, head of the economics section of the League Secretariat, favoured. He thought the best means of international administration was to get the responsible officials of the Governments concerned on a commission, in which they came in close contact with experts of an international organization with a technical and international point of view. If they committed themselves to a policy in such a commission, since they were responsible officials in their own Governments, they could carry out that policy. In the United Nations, this system has been less used because the Soviet Union wanted all commissions to be composed only of government officials.¹²

Another way to influence States is through the impartial determination of law. The principal organs of the United Nations and the Specialized Agencies are competent to ask advisory opinions of the International Court of Justice.¹³ These opinions are merely advisory and, according to the Eastern Carelia case, cannot deal directly with the merits of a dispute between States, but an advisory opinion of the Court, dealing with a matter of international procedure, often indirectly affects the settlement of a pending controversy and may have considerable influence upon the States. In fact, advisory opinions often provided the basis for the adjustment of disputes by the League of Nations.¹⁴ They have been less used by the United Nations.¹⁵

The Security Council and the General Assembly can also recommend that the parties to a dispute submit the case to arbitration or adjudication (Art. 36, par. 3). Such recommendations are not binding. The British Government in the Corfu Channel case tried

12. A. Loveday, "An Unfortunate Decision," *International Organization*, June, 1947, Vol. 1, pp. 279ff.

13. Status of Eastern Carelia, P.C.I.J. 1923, Ser. B, No. 5, Hudson, *World Courts Reports*, Vol. 1, pp. 190ff.

14. As in the Mosul Case, P.C.I.J., 1925, Ser. B. No. 12, Hudson, W.C.R., Vol., 1, pp. 722ff.

15. Shabtai Rosenne, "The International Court of Justice and the United Nations," *International Organization*, May, 1955, Vol. 9., pp. 244ff.

to rest the Court's jurisdiction on such a recommendation but the Court held against it.¹⁶ The Court has held rigidly to the principle that its jurisdiction rests on consent of the parties. If an international court has jurisdiction its decisions are legally binding upon the parties.

Influence may be exerted through the relations of United Nations Organization with private groups within the State. The International Labour Organization under its first Director, Albert Thomas, established close relations with trade unions in the member-states. The unions as well as employer organizations are represented in the I.L.O. and continually bring pressure upon their Governments to carry out the provisions of I.L.O. Conventions. The United Nations recognizes many 'Non-Governmental Organizations' (N.G.O.s.). These organizations have access to certain meetings of the Economic and Social Council and other organs of the U.N. Their representatives have the opportunity to learn what is going on in the United Nations, and, from this knowledge, may be in a position to bring pressure upon their Governments to observe United Nations principles and treaty obligations.

Investigatorial commissions are another avenue of influence. The United Nations Charter provides (Art. 34) that the Security Council may decide to investigate whether a dispute is likely to endanger international peace and security. Can an investigating commission be sent within the territory of a State without that State's consent? This has been a controversial question. The General Assembly can make recommendations for such investigation, but it has usually agreed that the commission should not go into the territory of a State, without that State's consent. This question was raised in the issue between Israel and Egypt in 1956. Egypt invited a U.N. commission and a United Nations force to come within its territory. The Secretary-General, then asked Israel to do the same but Israel refused and the Secretary-General did not attempt to send the force into Israel's territory. Some believe that Articles 104 and 105 of the Charter oblige members to admit such commissions if necessary to carry out purposes set forth in the Charter. If an investigating commission is explicitly authorised by the Security Council in pursuance of its responsibility to maintain international peace and security, it seems clear that the States are obliged to permit the commission to go into the territory of the states concerned. Article 25 of the Charter requires the members to observe the decisions of the Security Council.

16. I.C.J., *Rep.*, 1947-48, p. 15.

The sending of investigating commissions, within the territory of States, may prove to be a procedure of increasing importance: inspection commissions to assure observance of disarmament agreements and policing forces to maintain cease fire lines involve the same principle. If a permanent police force is established its utility would be reduced if it could not be sent within the borders of a State, unless explicitly authorized by the veto-ridden Security Council.

Finally, in a few cases, resolutions of United Nations organs and organs of Specialized Agencies are legally binding. This is so only if States have by treaty agreed in advance to accept such a resolution. Under international law, no State is bound by a new rule of law without its consent. In certain of the Specialized Agencies, *e.g.*, the Universal Postal Union, the constitution provides that certain regulations, made by organs of the agency, are binding. The States administering Trust territories are legally bound by General Assembly resolutions in this field. The peace treaty gave the General Assembly power to dispose of the former Italian colonies.

These are the methods by which international organizations can bring pressure and exert influence upon States to induce the observance of international law or the policies of the United Nations.

DIRECT INTERNATIONAL ADMINISTRATION

Some of the areas in which an international organization has direct responsibility are Trusteeship areas. These are administered by States chosen with consent of the United Nations. The latter has complete powers of supervision and investigation. The Trusteeship Council under authority of the General Assembly can receive petitions from the area, hear petitioners in person, send representatives to such areas, hear reports from the administering powers annually (Art. 87) and make recommendations or decisions in regard to the behaviour of the administering state (Art. 85). In this activity there is no question of intervening in the domestic jurisdiction of that State. The supervisory competence of the United Nations is complete. It can arrange for terminating the trusteeship of the area by recognizing its independence as proposed for French Togoland and Cameroons or by incorporation of the area in a neighbouring self-governing territory as in the case of British Togoland, united with the Gold Coast to form the State of Ghana.

The "non-self-governing territories", which include all the colonial areas other than the Trusteeships, are referred to in Article 73 of

the Charter. The responsibility of the United Nations in regard to them, is one of the most controversial matters in the United Nations. The colonial government is obliged to report on economic, social and educational matters [Art. 73(e)]. The provisions of the Charter provide in addition that one of the obligations of the administering authority is to develop self-government [Art. 73(b)]. The General Assembly has assumed that this permits it to inquire into the political situation in order to ascertain whether the colonial power is really developing self-government in the colony. The colonial powers have objected to this. They have said "you are trying to convert a non-self-governing territory into a trusteeship territory." On this matter there have been vigorous debates in the General Assembly between the colonial powers, mostly Western European, and the Afro-Asian Group. In principle, it is difficult to deny the right of the General Assembly to debate the question of non-self-governing territories and to make recommendations if it is convinced that some of the "obligations" undertaken as a "sacred trust" under Article 73 of the Charter have not been carried out.

The scope of the term 'non-self-governing territory' is very controversial. Algeria would usually be considered a non-self-governing territory, and is so considered by a vast majority of its inhabitants. France however has said that it is a part of Metropolitan France. The General Assembly's position has been that the General Assembly can decide. The United States had treated Puerto Rico as a non-self-governing territory, but after the passage of the Commonwealth Act by Congress and its acceptance by Puerto Rico, the United States informed the General Assembly that now Puerto Rico had become self-governing. The General Assembly said, "we will look into it." They looked into the matter and concluded that Puerto Rico did have self-government but passed a formal resolution asserting that the General Assembly had the power to determine what is a non-self-governing territory, had investigated the status of Puerto Rico, and had decided that it was no longer a "non-self-governing territory." The colonial powers had insisted that this power did not belong to the General Assembly, but the Assembly has in fact exercised it.

There have been other internationalized areas. The Saar Valley and Danzig, two small European areas, were administered directly by the League of Nations. Trieste was, according to the Treaty of Peace with Italy, to be an internationalized area to be administered directly by the United Nations. This programme was never carried out, because the Security Council could not agree on an administrator. The deadlock was finally broken by agreement dividing the area between

Italy and Yugoslavia. The Assembly resolution of 1947, partitioning the mandated territory of Palestine, provided for the internationalization of Jerusalem, but this, also, has not been implemented. The area has been divided between Israel and Jordan *de facto* but not *de jure*.

The U.N. headquarters in New York City is an enclave which the United Nations administer directly. It is outside of the police authority of New York and of the United States as a foreign embassy. The same is true of the headquarters of other international organizations in other capitals.

There have been proposals to internationalize much larger areas. President Eisenhower proposed that the Antarctic might be internationally administered for the benefit of science. What he was proposing was an international administration of this huge area, now inhabited only by penguins, without raising the issue of claims to sovereignty by eleven States. If uranium were discovered under the icebergs, the Antarctic might become a source of dangerous rivalry among these States unless such a project is accepted. He has made a similar proposal in regard to outer space.

Others have suggested that the bed of the sea beyond the continental shelf might well be administered by the United Nations. One can see that extension of national claims in many portions of the sea bed might lead to international friction. For instance, the countries bordering the Gulf of Mexico on the Persian Gulf might develop serious conflicts over oil exploitation. So some say let us now place a definite limit to the extent of the bed of the sea which can be claimed by the shore State, and give the rest to the United Nations. Then, when it becomes possible to exploit the resources, the company must get a licence from the United Nations. As in the case of the Antarctic and outer space, there may here be a very good opportunity for direct international administration.¹⁷

INTERNATIONAL ADMINISTRATIVE LAW

Here an important problem is that of administering the staffs of the various international organizations. At the present time, there are about 10,000 international civil servants mostly on the staffs of the U.N. and the Specialized Agencies. The Charter of the United Nations provides that the members of the Secretariat shall be subject to instruction only by the Secretary-General (Art. 100) and other international organizations usually operated on the same principle. The staff members must be loyal to their

17. Arthur Holcombe, ed., *Strengthening the United Nations*, (10th report to the Commission to Study the Organization of Peace) New York, 1957, pp. 41, 208ff.

organization. This may involve serious problems of conflict of loyalty to the State of which the individual is a national. Supposing a civil servant is given the job of arranging for the organization of sanctions against his country. Probably the United Nations would use some one who is not a national of the country against which it is exercising sanctions, but such a problem might arise on less important matters.

The issue of maintaining the immunity of international civil servants has been raised in connection with the investigation of members of the United Nations Secretariat by American Congressional and Senatorial Committees. According to some American legislators, the Secretariat was infiltrated with Communists. Of course there are Communists in the Secretariat because all member countries expect some persons of their nations to be appointed. But it would seem that even if there were American Communists on the staff of the Secretariat they should be responsible to the Secretary-General alone for their actions in discharge of their duties. But the view of the Congressional Committee was that these American nationals who were in the Secretariat were probably engaged in Communist activities hostile to the United States and should be fired if they refused to respond to questions of the Committees. Pressure was brought on Trygve Lie, the then Secretary-General, and he did discharge some members of the Secretariat, who had been accused by the American Congressional Committees. Many people thought the Secretary-General should have forbidden any member of the Secretariat to appear before such national commissions, asked for evidence that such persons were engaged in subversive activities, then conducted his own investigation and, if it sustained the charges, taken appropriate action. Article 100 of the Charter of the United Nations says : "(1) In the performance of their duties the Secretary-General and the staff shall not seek or receive instructions from any government or from any other authority external to the Organization. They shall refrain from any action which might reflect on their position as international officials responsible only to the Organization. (2) Each member of the United Nations undertakes to respect the exclusively international character of the responsibilities of the Secretary-General and the staff and not to seek to influence them in the discharge of their responsibilities."

It seems clear that the investigation of an American citizen member of the Secretariat, by an American Congressional Committee would be likely to influence the behaviour of that person. The person knowing that his Government had its eye on him, would probably say, "I will never say or write anything which a future Senator McCarthy might regard as subversive."

It seems to me that Members of the Secretariat should be subject to investigation only by the Secretary-General. I think this accords with sound principles of public administration generally, and is particularly applicable to an organization which is entitled to immunity from local jurisdiction as are foreign embassies and international secretariats.

Now, we come to difficult problems in connection with the recruitment of international civil servants. Governments of large States usually recognize that some consideration should be given to the geographical origin of civil servants. This is especially true in federal unions whose member states will protest if denied fair representation in the federal civil service. In the U.N. this is more important, and in fact, there is an explicit statement in the Charter that "due regard shall be paid to the importance of recruiting the staff on as wide a geographical basis as possible" in addition to "the necessity of securing the highest standards of efficiency, competence and integrity." (Art. 101, par. 3).

Of course, each member of the U.N. brings pressure on the Secretary-General to get a fair share of appointments but some of the members do not have many nationals who know the official languages or have the technical qualifications. This is for the Secretary General to decide but he must seek wide distribution of the jobs among the members.

Sound public administration requires protection of the rights of the civil servant. The General Assembly has provided regulations for the staff, which give security of tenure and specify conditions under which civil servants can be discharged. It has also established an administrative tribunal, as has the International Labour Organization. Decisions of these administrative tribunals are of legal character and cannot be overridden by the General Assembly itself. This was held by the International Court of Justice in connection with a case initiated by the U.S. After the Secretary-General had discharged some members of the staff under pressure from the United States, the Administrative Tribunal found that some of these cases violated the regulations. It therefore held that the Secretary-General must re-employ the persons or compensate them. The U.S. objected in the General Assembly to this decision, but that body passed a resolution requesting an advisory opinion of the International Court on the question. The Court advised that the Administrative Tribunal was designed to give binding judgments. Consequently, the General Assembly should appropriate funds to pay the compensation

required and this was done.¹⁸

Another issue has arisen in regard to administrative tribunals. The International Labour Organization has such a tribunal, and its statute provides that its judgments may be appealed to the International Court of Justice. The statute also provides that, on accepting these conditions, other Specialized Agencies could utilize the I.L.O. administrative tribunal. The Director-General of UNESCO discharged some members of the staff of UNESCO in Paris. These people brought claims for compensation to the ILO administrative tribunal. They were awarded compensation, and then UNESCO asked for the advisory opinion of the International Court on this question. But under the specified conditions in the tribunal statute the advisory opinion would have the character of an appeal and would be obligatory. The issue arose as to whether in the hearings before the Court, only the international organization that asked for the advisory opinion should be heard, or whether the individuals should be entitled to an equal hearing before the Court. Normally, the Court is open only for cases between States or for advisory opinions asked by international organizations. There is no regular procedure for an individual to be heard by the Court. Yet justice requires that in a litigated case the parties have an equal opportunity to be heard. The majority of the Court held that because UNESCO had been careful to allow the persons to prepare their cases in a written form and had submitted these briefs along with its own brief fair hearing had been given.¹⁹ This raised a very interesting question whether an advisory opinion should be refused unless all parties involved were given equal opportunity to be heard.²⁰

CO-ORDINATION OF ACTIVITIES OF INTERNATIONAL AGENCIES

It has been suggested that the Economic and Social Council of the United Nations should provide regulations to prevent duplication or multiplication of activity by the different Specialized Agencies, many of which have overlapping functions, and should supervise and co-ordinate these operations. Other means of co-ordination through supervision of the budgets of all the organizations by the United Nations, through establishment of uniform staff standards, and through close geographical and personal contacts of the Secretariats have also been suggested. The hope that efficient international administration might be forwarded by such methods has not been fully realized. It may be that a certain amount of competition among international organizations

18. I.C.J., Rep. 1954, p. 47; *Am. Journ. Int. Law*, 1954, vol. 48, p. 655.

19. *Ibid*, 1956, 77; *Am. Journ. Int. Law*, 1957, Vol. 51, p. 410.

20. Leo Gross, "Participation of Individuals in Advisory Proceedings before the International Court of Justice", *Am. Journ. Int. Law*, Jan. 1958., Vol. 52, p. 16ff.

in some economic and social activities has advantages. Experience may prove that one organization can deal with a given problem more effectively than can another. Too much centralization may not be desirable but efficiency is also desirable.



"It is no easy task to keep bureaucracy politically responsible. The means do not lie in the direction of promoting a breakdown in the public service. Administrative leaders must be encouraged to exercise an appropriate initiative in the presentation and consideration of public policy. If external controls were to go so far as to bar the bureaucracy from the consideration of policy matters, then the political institutions of society would deny themselves the benefit of timely and expert advice. If the top talent of the public service were to be driven from the bureaucracy by inadequate salaries, slow promotion, or other unsatisfactory conditions of service, the political institutions of our society would have no answering response to their demand for administrative activity."

—JOHN D. MILLET

(in "*Government and Public Administration—The Quest for Responsible Performance*")

Budget-Procedure - India as Budget-Procedure - @ Brie

TWO ESTIMATES COMMITTEES*

S. L. Shakdher

AMONG all the countries which follow the Commonwealth parliamentary system of procedure, the U.K., Canada and India¹ are the only countries which have the institution of Estimates Committee in their parliamentary system. In New Zealand, the Committee called the Public Accounts Committee is more akin to an Estimates Committee since its main duty is to examine all estimates prior to their consideration by the Committee of Supply.

Although the main conception behind the establishment of an Estimates Committee in the U.K. and India is the same, viz., that a representative committee of parliament should examine the details of estimates of expenditure of Government thoroughly from year to year in a selective way, the procedure and functions of the two committees differ in many respects. It is the purpose of this article to show how each one of the two committees has taken a path of its own and is functioning.

In the U.K., a Select Committee on Estimates was first formed in 1912. The Committee was re-appointed in 1913 and 1914. The outbreak of the war in 1914 brought to an end this short experiment and it was not till the end of July 1917 that a Select Committee on National Expenditure was formed from year to year. In 1921, the Select Committee on National Expenditure was not re-appointed and a Select Committee on Estimates was revived in its place. The Committee was re-appointed every year from 1921 till the outbreak of the last war. During the war years, 1939-45, a Select Committee on National Expenditure was appointed every year. In 1946, a Select Committee on Estimates was again appointed.

If one delves deeper, one finds it interesting to note that *ad hoc* committees, more or less the early counterparts of the Estimates Committee, have been in existence² since 1828. In 1828, a Select Committee

*This article is based on the first-hand knowledge of the writer of the working of the Estimates Committee in India and on the discussions which he had in London with the Clerk of the House and the Clerks of the Financial Committees of the House of Commons and the written material supplied by them later.

1. In India, beside an Estimates Committee in the Lok Sabha (House of the People), a majority of State Legislatures have formed Estimates Committees on the same model as at the Centre.

2. A complete review tracing the origin and development of the Estimates Committee in the U.K. through the centuries is contained in the Eleventh Report of the Committee on National Expenditure for the session 1943-44.

was appointed to consider what further regulations and checks should be adopted for establishing an effective control upon all charges incurred in the safe custody and application of public money and this committee was required to consider measures for reducing public expenditure. In 1848, three Select Committees were appointed to consider various classes of estimates. These Committees were appointed from year to year and in war periods, e.g., during the Crimean War and Boer War, other committees to enquire into the condition of departments supplying the War Office contracts, etc. were formed. During the Boer War also a Select Committee on National Expenditure was appointed in 1902 and re-appointed in 1903.

In India, following a memorandum³ by Shri M.N. Kaul, then Secretary of the Constituent Assembly of India (Legislative), which was strongly commended for adoption by the then Speaker, Shri G.V. Mavalankar, the Estimates Committee was set up for the first time in 1950, after the present Constitution came into force. The Committee has been set up every year since then. There had been, however, a demand for the establishment of a Committee like the Estimates Committee since 1938. The non-official members of the then Central Assembly had regularly voiced a demand for a Committee with sufficient powers to examine the expenditure of the Government; but the Government of the day always shelved the proposal on one pretext or another.⁴

In the U.K., the Committee on Estimates is a sessional committee⁵ appointed on a Government motion from session to session. The motion contains the terms of reference of the Committee and also the names of members to be appointed to the Committee. Unlike the Public Accounts Committee, there is no mention of it in the Standing Orders of the House of Commons.

3. See the memorandum by Shri M.N. Kaul, Secretary, Constituent Assembly of India (Legislative), on the Reform of Parliamentary Procedure in India and the Notes thereon by Shri G.V. Mavalankar, Speaker, Constituent Assembly of India (Legislative). (Published by the Lok Sabha Secretariat).

4. On the 25th August, 1937, in reply to a Question in the Central Legislative Assembly the then Finance Member said that he did not propose to set up an Estimates Committee.

On the 8th April, 1938, during the discussion on a motion regarding the appointment of a retrenchment committee, in the Central Legislative Assembly, the then Finance Member showed his willingness to appoint instead an Estimates Committee provided a Government official was appointed its Secretary and the subjects to be examined by the Committee were selected by the Finance Department of the Government. The House rejected the proposal because they did not like the Committee to work in an "official atmosphere."

On the 14th March, 1944, during the debate on a cut motion in the Central Legislative Assembly, the then Finance Member agreed in principle to the appointment of an Estimates Committee, but said that he could not agree to its functioning immediately. (See L.A. Debates 1937, Vol. IV, pp. 506-7 ; 1938, Vol. III, pp. 2865-7 and 1944, Vol. II, p. 1072.)

5. See May's *Parliamentary Practice* (Sixteenth Edition)—pp. 680-681.

In India, the Estimates Committee is a standing committee whose scope of functions, method of appointment and other ancillary matters are provided in the Rules of Procedure and Conduct of Business in Lok Sabha.⁶ The motion for the election of the Committee for the following year is moved in the Lok Sabha by the Chairman of the Committee some time (usually a fortnight) before the term of the current Committee comes to an end. The rules provide for election of members to the Committee by a system of proportional representation by single transferable vote. At the commencement of a new House, the first motion is made by a Minister of Government.

In the U.K., the number of members of the Committee is 36 and the quorum to constitute a meeting of the Committee is fixed at seven. The Indian Committee consists of 30 members and the quorum is one-third of the number of members.

In the U.K., the Chairman of the Committee is elected by the members of the Committee after it has been constituted. In India, the Chairman is nominated by the Speaker provided that if the Deputy Speaker is a member of the Committee, he becomes the Chairman of the Committee automatically. No member, who is a Minister (which includes a Deputy Minister and a Parliamentary Secretary), can be appointed a member of the Committee and if a member after appointment to the Committee is appointed a Minister, he ceases to be a member of the Committee.⁷ In the U.K. there is no such rule; but by convention, Ministers are not appointed Members of the Committee and similarly, if a member of the Committee is appointed a Minister of Government, another member would normally be appointed to the Committee in his place.⁸

In India, the functions of the Committee are laid down in the Rules of Procedure and the Directions by the Speaker issued from time to time, while in the U.K., the main terms of the Committee are stated in the motion and their amplitude and scope have been determined by conventions and practices from time to time. One of the interesting matters which has engaged the attention of the critics of the Indian Committee is that its terms of reference and their interpretation go possibly a little beyond its counterpart in the U.K. so far as questions of policy are concerned. There is no doubt that in the case of the Indian Committee, the functions have been set out in the Rules of Procedure and the Directions issued by the Speaker, while in the case

6. See Rules 310-312 of the Rules of Procedure and Conduct of Business in Lok Sabha (Fifth Edition).

7. See Proviso to Rule 311(1), *ibid.*

8. No formal provision exists for the resignation of a member from the Committee.

of the U.K. Committee one has to infer them mostly from the reports of the Committee and also from the descriptions of the various authors who have described the work and functions of the Committee in the U.K.

The functions of the Indian Committee are laid down as below :

- (a) to report what economies, improvements in organisation, efficiency or administrative reform, consistent with the policy underlying the estimates, may be effected;
- (b) to suggest alternative policies in order to bring about efficiency and economy in administration;
- (c) to examine whether the money is well laid out within the limits of the policy implied in the estimates; and
- (d) to suggest the form in which the estimates shall be presented to Parliament.

The Speaker, by a direction has defined the amplitude of the term 'policy' referred to in clause (a) above. The direction states that "the term 'policy' relates only to policies laid down by Parliament⁹ either by means of statutes or by specific resolutions passed by it from time to time."

The Direction further provides that—

"It shall be open to the Committee to examine any matter which may have been settled as a matter of policy by the Government in the discharge of its executive functions."¹⁰

9. Shri C.D. Deshmukh, the then Finance Minister, said in the course of his speech on the 23rd May, 1952, in Lok Sabha :

"I look forward to continuing assistance from the labours of the Estimates Committee in securing that, within the four corners of the *policy laid down by Parliament*, the money authorised to be spent by it are utilized to the best possible advantage without avoidable waste."

10. In 1958 a question was raised in Government circles and it was widely discussed in the press that the Estimates Committee had criticised policy matters and attention was in particular drawn to para 21 of the Twenty-First Report of the Estimates Committee on the Planning Commission. In this para the Committee had *inter alia* stated as follows:

".....while the Prime Minister's formal association was absolutely necessary during the formative stages and while he would still have to provide the guidance and assistance to the Planning Commission so as to facilitate the success of planning, it is a matter for consideration whether it is still necessary for him to retain a formal connection with the Planning Commission. Similarly, it would also have to be considered whether it is necessary to continue the formal association of the Finance Minister and other Ministers of the Central Government with the Commission....."

It is not correct to say that the Committee has criticised a policy laid down by Parliament. There has never been any formal parliamentary approval of the composition of the Planning Commission. The first announcement regarding the constitution of the Planning Commission was made in the President's Address to Parliament on the 31st January, 1950. Later during his Budget speech, the then Finance Minister, Dr. John Matthai, made an announcement about the personnel of the Commission.

It is interesting to note that Dr. John Matthai stated that Shri Jawaharlal Nehru and not the Prime Minister, would be the Chairman of the Commission. None of the other members who were appointed to the Commission was a Minister of the then

With regard to clause (b) "the Committee shall not go against the policy approved by Parliament; but where it is established on evidence that a particular policy is not leading to the expected or desired results or is leading to waste, it is the duty of the Committee to bring to the notice of the House that a change in policy is called for."¹¹

"The fundamental objectives of the Committee are economy, efficiency in administration and ensuring that money is well laid out; but, if on close examination, it is revealed that large sums are going to waste because a certain policy is followed, the Committee may point out the defects and give reasons for the change in the policy for the consideration of the House."¹²

In the U.K. as stated above, the motion¹³ which is brought before the House every session for the appointment of the Committee states the terms of the Committee in the following words :

ESTIMATES

That a Select Committee be appointed to examine such of the Estimates presented to this House as may seem fit to the committee and to report what, if any, economies consistent with the policy implied in those estimates may be effected therein, and to suggest the form in which the Estimates shall be presented for examination.

Earlier writers who have written on the Estimates Committee in the U.K. have, broadly speaking, stated that the Committee avoids

Government of India. It is thus clear that the intention was to constitute the Commission purely with non-officials and Prime Minister's association was in his individual capacity and not as the Prime Minister. No resolution nor a Bill was brought before Parliament to define the strength of the Commission, the qualifications for membership, the proportion between Minister and non-Minister members or the functions of the Commission. They were all settled by a Government Resolution dated the 15th March, 1950.

The strength of the Commission was changed from time to time and all these changes were made by Government in its executive discretion and were never placed before Parliament for their approval. Therefore there can be no policy approved by Parliament in so far as this matter is concerned. It can at best be a policy settled by executive Government in the discharge of its executive functions to conduct the economic planning of the country. It is relevant to point out here that in U.K. such a body would have been constituted by an Act of Parliament, *vide* for instance The Atomic Energy Authority Act.

11. Direction No. 98 (3) issued by the Speaker.

12. Speaker, Shri M.A. Ayyangar, inaugurating the Estimates Committee in May 1959 said as follows :

"Your function is not to lay down any policy. Whatever policy is laid down by Parliament, your business is to see that that policy is carried out—not independently or divorced from its financial implications. You must bear in mind constantly that you are a financial committee and you are concerned with all matters in which finances are involved. It is only where a policy involves expenditure and while going into the expenditure you find that the policy has not worked properly, you are entitled and competent to go into it. Where the policy is leading to waste, you are entitled to comment on it in a suitable way."

13. House of Commons Deb. 1956-57 ; Vol. 561, Cols. 1645-46.

all questions of policy. None of the writers has however made it clear in a detailed manner as to what is intended by them by the term 'policy'. Clearly a Committee of Parliament can only be bound by the policy laid down by Parliament. It cannot be limited in its work by the policy that Government may have laid down in the discharge of its executive functions subordinate to the policies laid down by Parliament. It is also to be noted that much of the procedure in the House of Commons is regulated by conventions and the written rules are considerably supplemented by unwritten practices. It takes a long time for the conventions and practices to find their way into the textbooks. However, Professor K.C. Wheare, a distinguished writer on constitutional matters, writing in 1955 described the position in the U.K. in the following terms :¹⁴

"It is not possible to argue in detail here the case for and against allowing or encouraging the committees to consider policy or merits. It may be asserted, however, that much of the usefulness and reputation of the Public Accounts Committee, which is regarded as the model of the scrutinizing committees of the House of Commons, comes from its interest in questions of wastefulness, which certainly trespass upon questions of policy. It is certain, too, that a great part of the usefulness of the Estimates Committee comes from its freedom in interpreting its terms of reference. There has been too much theoretical dogmatism about the proper functioning of these committees. Policy does not necessarily mean party policy, nor high policy. There are many questions of policy which members of a select committee, of differing parties, could investigate without dividing themselves into Government supporters and Opposition supporters. The experience of the National Expenditure Committee and the Estimates Committee has demonstrated that already. It is wise, no doubt, not to widen the terms of reference of the committees by empowering them in express terms to consider policy. It is much better that these discussions of policy should arise necessarily from discussions of economy and value for money and efficiency, rather than that they should be raised directly."

The author further says :¹⁵

"... some part of the interest which the Estimates Committee has aroused since 1945 is due to the fact that, in spite of the limitations in its terms of reference, it does in fact encroach,

14. K.C. Wheare, *Government by Committee*, p. 238.
 15. *Ibid.*, p. 237.

from time to time, upon the field of 'policy'. It is difficult, of course, to know where policy begins. It has long been accepted that the Public Accounts Committee is entitled to scrutinize expenditure not only from the strict point of view of audit but also from the point of view of waste and extravagance. Does not that lead them into questions of policy? It must be admitted that it can. Even more likely is it that the Estimates Committee in considering proposals for expenditure is likely to be led into judgements upon waste and extravagance, which are bound to lead to judgements upon the wisdom of the policy which led to this expenditure."

Also Sir Gilbert Campion (later Lord Campion), Editor of May's Parliamentary Practice for many years, summed up the position before the Select Committee on Procedure (1945-46) as follows :¹⁶

"Committees of the House of Commons on administrative matters are, in fact, advisory bodies used by the House for inquiry and to obtain information, and they generally inquire into definite happenings and criticise after the event, though as a result of the lessons they have learnt they may make suggestions for the future. It is difficult to see how such bodies could impair ministerial responsibility, even if matters of 'policy'—a very indefinite word—were assigned to them. If the House is not free to use them as it wishes, it is deprived, or deprives itself, of the most natural means of obtaining information and advice."

The above statements are amply borne out if a detailed study of the reports of the Estimates Committee in the U.K. is made. A statement prepared at random showing some of the recommendations, which touch upon policy matters, made by the Estimates Committee of the House of Commons is given in the *Notes* at the end of the article.

In the U.K., the Estimates Committee normally works through its Sub-Committees. A number of Sub-Committees—usually five or six—are appointed and the subjects which the Committee has taken up for consideration during the year are divided among the Sub-Committees by a Steering Sub-Committee (Sub-Committee 'A') which also considers the procedural and other matters relating to the working of the Committee. The Sub-Committees take evidence and formulate their reports which are then considered by the whole Committee.

In India, so far, the Sub-Committee system has been adopted only in one case, *viz.*, consideration of the estimates relating to the Ministry of Defence. In that case, the Sub-Committee was authorised

16. H.C. 189-1 (1945-46), p. 244.

to take evidence and formulate its report which was then considered by the whole Committee. Otherwise, the Estimates Committee itself considers all the matters which it has taken up for consideration during the year. The Committee usually appoints Study Groups and divides the subjects among the Study Groups. The Study Groups make an intensive study of the subjects which have been allotted to them and the members of the Committee may generally acquaint themselves with all subjects before the Committee. The Committee as a whole takes evidence and then comes to conclusions. It may then entrust the work of formulating the first draft of a report to the Study Group. The draft of the Study Group report is submitted to the Chairman of the Committee who may accept it or make such further changes in it as he may like. The draft report is circulated to the members of the whole Committee as the Chairman's report and it is then considered in detail by the whole Committee.

In the U.K., there is a separate Select Committee on Nationalised Industries¹⁷ which has its own terms of reference. It is quite distinct from the Select Committee on Estimates since no estimates on these industries are laid before Parliament. The sphere of work of the Select Committee on Nationalised Industries is more comparable with (and indeed intentionally to some extent overlaps) that of the Committee on Public Accounts.

In India, at present the functions of examining Public Undertakings¹⁸ which include nationalised industries are discharged by the Estimates Committee itself. Until now the Committee as a whole selected subjects for examination and dealt with them in the same manner as the estimates of any other department or Ministry. Quite recently the Speaker has issued a direction constituting a Standing Sub-Committee of the Estimates Committee on Public Undertakings. This Sub-Committee will take evidence, formulate its report which may then be considered by the whole Committee. In effect, the Sub-Committee on Public Undertakings will work as an independent entity excepting that the selection of subjects to be considered by the

17. There are only eight such Nationalised Industries. The terms of reference of the Select Committee on Nationalised Industries are as follows:

"That a Select Committee be appointed to examine the reports and accounts of the Nationalised Industries established by statute whose controlling Boards are appointed by Ministers of the Crown and whose annual receipts are not wholly or mainly derived from moneys provided by Parliament or advanced from the Exchequer."

18. A public undertaking for the purposes of examination by the Estimates Committee has been defined in a direction of the Speaker as follows:

".....a public undertaking means an organization endowed with a legal personality and set up by or under the provisions of a statute for undertaking on behalf of the Government of India an enterprise of industrial, commercial or financial nature or a special service in the public interest and possessing a large measure of administrative and financial autonomy."

Sub-Committee will be made by the whole Committee and the draft report of the Sub-Committee will be considered by the whole Committee. The members of the Sub-Committee will also be selected by the Chairman of the Committee from amongst members of the Estimates Committee and the Sub-Committee will work under the guidance and directions of the Chairman of the Estimates Committee. This Committee will work on the same model as the Sub-Committee on Defence and it is to be seen how the experiment will work out in practice.

Both in the U.K. and India, work of the Estimates Committee begins after the estimates of expenditure have been presented to the House. But in the U.K., the Estimates Committee frequently reports before the final vote on the estimates takes place, so that the House may be in possession of the views of the Estimates Committee before it has finally accepted the proposals of the Government in relation to those matters which the Estimates Committee has taken up for consideration during the year. This is possible because the estimates are voted nearly 5 or 6 months after these have been presented to Parliament.¹⁹ It may, however, be pointed out that the consideration of estimates in the Committee of Supply is in no way contingent upon their previous consideration by the Estimates Committee.

In India, the reports of the Estimates Committee are submitted throughout the year irrespective of the fact that the House has voted the estimates. This is so because the estimates are presented to the House on the last day of February and they are passed before the end of April. In practice, the Estimates Committee has found it difficult to complete its work within the two months at its disposal. Legally and constitutionally, the reports of the Estimates Committee are not binding on the House or the Government. They are recommendations which the Government may accept or may feel bound not to accept because of various difficulties. Since the estimates are voted by Parliament in the shape of authorisations not exceeding certain upper limits, it is always open to Government to spend less and to accept the recommendations of the Estimates Committee and effect economy. In any case the views of the Estimates Committee would have been reflected in the next year's estimates and the House can always draw attention to the previous reports and call for explanations from the Minister concerned as to why the estimates have not been prepared after taking into account the recommendations of the Estimates Committee. In practice, therefore, there is sufficient time for the Estimates Committee to investigate thoroughly into the matters and

19. The Estimates are presented some time in February and they are finally voted in July or August.

make considered recommendations and for Government to examine the recommendations of the Committee with care and for the House to give its considered opinion after taking into account the views of the Committee and Government.

In India, it is open to the Committee to call for details in respect of expenditure charged on the Consolidated Fund of India. The Speaker has also directed the Committee to scrutinise whether the classification of estimates between 'voted' and 'charged' has been done strictly in accordance with the provisions of the Constitution and Acts of Parliament.

In the U.K., the Estimates Committee does not undertake any tours or study on the spot of the organisations which they are examining for the time being. Sub-Committees are however, given power to adjourn from place to place and have on occasions even travelled overseas (e.g., to Nigeria). The Sub-Committees would not normally visit the central offices of Ministries, but frequently visit outstations.²⁰ In India, the Study Groups or the Sub-Committee or the whole Committee make frequent visits throughout the year to the central or out-station offices of the various organisations, departments or Ministries which are under examination by them. They obtain a visual impression of the organisation as well as information from the officers on the spot. This is of course done informally and only with a view to make a thorough study of the subject. The formal evidence is taken and formal discussions take place later in the Committee room in Parliament House at which the information obtained as a result of the study tour is exchanged with top officials of the organisation and their considered views obtained. The report of the Committee is based mainly on the formal evidence and formal discussions that have taken place in the Committee room. When Committees are on a study tour, informal meetings may be held at the place of visit but at such meetings no decisions are taken or minutes recorded.

In the U.K., the sub-committees frequently call non-officials to give evidence if in their opinion the advice of a non-official is germane to the inquiry. In India, too, non-officials may be invited to appear before the Committee to give evidence on any matter before the Committee.²¹

20. Sub-Committee 'B' visited three Research establishments of the Department of Scientific and Industrial Research and the premises of the British Coal Utilisation Research Association and of the Printing, Packaging and Allied Trades Research Association. [Fifth Report (1957-58) from the Select Committee on Estimates on the Department of Scientific & Industrial Research].

21. Since 1953-54, the Estimates Committee has called many non-official witnesses to give evidence. In 1958-59 alone about 15 such witnesses were called. They included retired Government servants, representatives of private industry, experts, outstanding public men and M.Ps.

In the U.K., the meetings of the Committee or Sub-Committee are generally held during sessions of the House although by an authorisation from the House the Committee can meet during recess. The Committee or Sub-Committee generally meets for about 2 hours at a time. In India, on the other hand, the Committee, the Study Groups and the Sub-Committees meet throughout the year, whether the House is in session or not. There is no obligation on the part of the Committee to seek any authorisation from the House. The duration of the sittings of Committees varies from 3 to 6 hours a day.

In the U.K., the report is from the Committee to the House and the mode of address is "Your Committee". The report is not signed by the members of the Committee because the report contains conclusions of the majority of the members and the proceedings of the Committee show how the members voted and what their differences were. In India, the report is signed by the Chairman and is presented by him on behalf of the Committee. The mode of presentation of report is "I, the Chairman, having been authorised by the Committee to submit this report on their behalf, present the report". The proceedings of the Committee indicate the manner in which the report was considered and the names and the number of members who were present when the report was approved. So far the Committee has obtained unanimity on the conclusions which it has embodied in its reports. In one case only with regard to a particular matter in a report a member wished that his alternative view should be recorded in the minutes of the sitting of the Committee which was done. Sometimes, the Committee²² itself may indicate in the report that there was another view in the Committee which was not accepted or there was a majority view for a particular matter without indicating who were in the minority or majority. The Committee does not work on party lines and therefore there is a spirit of compromise and give and take and the matters are not pressed to division and no votes are recorded.

Both in India and the U.K. there are no minutes of dissent to the reports. In the U.K. the proceedings of the Committee indicate whether more than one draft report was presented and if so which one was taken up for consideration. The evidence given before the Committee is presented to the House along with the report although the Committee is not obliged to report all the evidence taken before it. The report also gives indications as to the part of the evidence on which the particular observations or recommendations contained in the report are based. The minutes are thus written very briefly and give no indication about the gist of evidence or trend of discussions in the

22. Such a procedure is prohibited under the U.K. practice.

Committee. In India, on the other hand, the evidence is not presented to the House nor is it printed or made available to anybody. It forms part of the record of the Committee. Consequently, minutes are written elaborately and they indicate the gist of the discussions that took place in the Committee. Such minutes are impersonal and they may only indicate the salient features of a particular point of view or an observation. These minutes are presented to the House along with the report or a little later. There has been some discussion about the merits and demerits of presenting verbatim evidence given before the Committee to the House and thus making it available to the Government and the public. The advantages are of course obvious inasmuch as it will give a complete background to the readers of the reports of the Estimates Committee as to the trend of discussion in the Committee and the volume and strength of opinion and the level at which it was expressed before the Committee. But those who advocate that the evidence should not be divulged argue that the officials of the Government and others who appear before the Committee should speak freely and frankly and give their opinions and observations on the various matters before the Committee. If it were known that the evidence would be made public or made available to their superiors the officials might perhaps refrain from expressing their candid opinions and may only give formal replies which may prevent the Committee from coming to correct conclusions. Secondly, the evidence is so voluminous that it may be very costly to get it printed and circulated. Furthermore, most of the evidence given by the officials is based on voluminous written material so that the evidence by itself may not be quite fully explanatory unless the other documents are also printed along with it and this may raise questions of editing and also questions of infringing the secrecy of documents.

In India, after the report is finalised by the Committee, it is sent to the Ministry or Department concerned for verification of facts contained therein. A copy is also sent to the concerned Financial Adviser for similar purpose. The idea is that the factual statements made in the report should be correct in all respects so that there is no dispute between the Committee and the Department as to the facts later on. The Ministries while communicating corrections of facts sometimes do give their comments on the recommendations contained in the report. The Committee may also consider the comments of the Ministry and if any new facts have been brought to their attention even at that stage the Committee may review its recommendations and amend or modify its earlier conclusions. The occasions on which the Committee has reconsidered its recommendations in the draft report have been very few firstly because the Ministries did not give their

comments on proposed recommendations and secondly only in very few cases any new facts were brought to the attention of the Committee to necessitate revision of its earlier conclusions. The Ministries are enjoined by a letter every time that the draft report should be kept secret before it is presented to the House. This direction of the Committee has always been followed by the Ministries and Departments.

In the U.K., the draft report is not sent to the Ministry for verification. The Committee finalises its report on the basis of the evidence given before it and the draft report is not shown to anybody before it is presented to the House. After the report is presented to the House, the Ministries are at liberty to give their minutes or comments on the reports and present them to the House. In some cases it has happened that Government has disputed the facts contained in the report of the Estimates Committee.²³

In India the recommendations of the Estimates Committee are, since 1958, classified at the end of each report in an Appendix under the following heads:

- (a) Recommendations for improving the organisation and working of the Department.
- (b) Recommendations for effecting economy—an analysis of more important recommendations directed towards economy is also given. Where possible, money value is also computed.
- (c) Miscellaneous or General recommendations.

It is however to be noted that the Committee does not proceed to analyse the figures comprising the Estimates with a view to seeking justification for each sum included in the Estimates just as a Budget Officer of the Government will do. Since the figures represent the activities of the Ministry or Department and the Committee is interested in examining those activities it scrutinizes them from the following points of view :

- (a) whether most modern and economical methods have been employed;
- (b) whether persons of requisite calibre on proper wages with necessary amenities and in right numbers have been put on the job;

23. See White Paper on the report on Foreign Office. The Estimates Committee presented to the House of Commons on the 10th December, 1954, its Seventh Report on the Foreign Service. On the 13th December, 1954, in answer to a question the Foreign Secretary referred to certain errors in the report. The Government subsequently presented a White Paper.

(H.C. Debates. Vol. 536, Cols. 682-3 and Appendix I of the Second Special Report of the Estimates Committee 1954-55.)

- (c) whether duplication, delays and defective contracts have been avoided;
- (d) whether right consultation has preceded the execution of the job; and
- (e) whether the production is worth the money spent on it.

In the U.K., the reports do not contain any classification of recommendations. In other respects the examination of the Estimates is conducted on the same lines as in India.

In India, no member of the Estimates Committee can be a member of a Committee appointed by Government for examination of a matter which is concurrently under the examination of the Estimates Committee, unless he has taken the permission of the Speaker before accepting nomination on the Government Committee. The Speaker, after consultation with the Chairman of the Committee, may either allow a member to be a member or Chairman of a Government Committee or advise him to decline²⁴ the offer. The member may if he is keen on accepting nomination on the Government Committee resign²⁵ from the Estimates Committee. Where, however, the Speaker has permitted a member of the Estimates Committee to be a member²⁶ or Chairman of a Government Committee on the same subject which the Estimates Committee had been examining then, he has always stipulated that the report of the Government Committee should be made available to the Estimates Committee and it should not be released for publication without the permission of the Estimates Committee or before the Estimates Committee has presented its own report on the same matter.²⁷

In the U.K., there are no such restrictions on the appointment of members of the Estimates Committee to the Committees appointed by Government for investigation of the same subject which is under the examination of the Estimates Committee.

(To be continued)

24. There is no such case so far.

25. (a) Shri Mahavir Tyagi, Member, Estimates Committee, resigned from the Committee on his appointment as Chairman of Government Committee regarding Direct Taxes Administration Enquiry (1958). The Estimates Committee had decided earlier to take up the examination of the Income-Tax Department.

(b) Shrimati Renuka Ray, Member, Estimates Committee (1958-59), resigned from the Committee on her appointment as a member of the Study Team on Social Welfare.

26. In cases where the Estimates Committee was not considering the same subject, the stipulation that the report of the Government Committee should be made available to the Estimates Committee was not made.

27. (a) Zaidi Committee report on Land Reclamation Project, 1953.

(b) Rau Committee on Damodar Valley Corporation, 1954.

(c) Enquiry Committee on Banaras Hindu University, 1957-58.

(d) Direct Taxes Administration Enquiry Committee, 1958.

NOTES

RECOMMENDATIONS CONTAINED IN U.K. REPORTS OF ESTIMATES COMMITTEE AND NATIONAL EXPENDITURE COMMITTEE INVOLVING CRITICISM OF POLICIES

Year	Number of the Report	Para No.	Summary of Recommendations
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(A) *Recommendations Criticising Government Policies*

1939-40 4th (NEC) 68-72 Referring to Government's policy of subsidising food prices, the Committee stated that the adoption of the policy had opened a range of problems for enquiry which might otherwise possibly have been considered to be outside their terms of reference and also remarked that some accurate factual records were required in order that the Ministry might be able to review the facts of its operation and consider future policy.

1940-41 6th (NEC) 20 Referring to the significance of price policy in carrying out the programme of agricultural production, the Committee pointed out that action had not been based on a preconceived and clearly defined plan and had been of a tentative nature. The Committee further stated as follows:

"Considering our terms of reference, we do not feel entitled to say more than that, if waste is to be directed into the most fruitful channels it is of great importance that a continuous planned price policy should be evolved."

1940-41 24th 10 The Committee recommended reconsideration of the release of minors from the Services. [According to Government's reply, *vide* p. 48 item (d) of First Report of 1941-42, this recommendation affected Government policy.]

1955-56 5 h 45 Referring to two major policy decisions taken by Government in regard to certain building operations, the Committee proceeded to remark as follows:

"It is not the function of your Committee to comment on decisions of policy. Nevertheless your Committee recommend that where such a decision necessarily involves, as this decision did, abandonment of the productive use of money already spent, the department concerned should estimate the probable extent of the loss to the public together with the financial factors making up this loss."

1953-54 3rd 2-5 After pointing out that they were not empowered to comment on the policy which had given rise to certain votes, the Committee recommended that no more public money should be invested in or lent to the British Field Products Ltd.

Summary of Recommendations

Year	Number of the Report	Para No.
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1955-56 7th 72 Referring to the general policy of the naval research establishment to have as many tools as possible made outside, the Committee stated as follows:

"Your Committee do not suggest that the policy should be reversed, but they recommend that it should be left entirely to the discretion of the superintendents whether the tools which they require are made in their own tool rooms or not."

(B) Recommendations Touching Upon Government Policies

1955-56	4th	—	Legal Aid Scheme
1956-57	3rd	—	Stores and Ordnance Depots of the Service Departments

} The Committee have not criticised the policy but only suggested a better implementation of the policy.

1951-52 6th 66 Referring to the satisfactory advances made in child-care services since the Act of 1948, the Committee suggested a re-examination of the existing policy when they recommended that each Secretary of State should appoint a Committee investigating every aspect of the service for which he was responsible and particularly the financial practice and policy.

1955-56 1st 27 The Committee recommended that all municipalities should be encouraged to own and operate airports and to this end the Ministry should re-state its policy on the municipal ownership of aerodromes and the conditions upon which agreement should be based:

Abolition of the Road Fund—The Committee suggested that it would lead to greater clarity of the estimates if the Road Funds were abolished and the expenditure on roads provided for in a normal departmental vote and added:

"They, therefore, recommend that subject to there being no reasons of policy for the continuance of the present system, consideration should be given by the Treasury to the introduction of the necessary legislation."

(C) Recommendations Tending to Affect Policy

1939-40	3rd	30	The Committee recommended the formation of Local Committees consisting of representatives of organisations and associations connected with land and its management, to give advice on the requisitioning of lands for Defence purposes.
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Summary of Recommendations

Year	Number of the Report	Para No.	Summary of Recommendations
1941-42	8th	9-11	The Committee recommended the setting up of Regional Executive Board consisting of a whole-time paid Chairman and the regional representatives of the Ministry of Labour and the three Supply Departments to perform various functions.
1941-42	8th	24-30 & 39	The Committee also made recommendations on general aspects such as devolution of responsibility to industrial organisations, methods affecting the spirit of the workers employed in industry and the question of taking workers into confidence about matters affecting production.
1941-42	12th		An enquiry into the appointment of two persons from private industry to positions in Government departments, with which their own firms had contractual relations, was made and a report was presented by the Committee, without any change having been made in their terms of reference.
1941-42	16th	109	The Committee remarked that they were not satisfied that the existing arrangements for ministerial control of establishments in the Treasury were adequate and recommended the creation of a new post of Parliamentary Secretary exclusively concerned with civil service questions.
1952-53	13th	12	In their reply in the Seventh Report of 1942-43 (p. 15, item 'q' and p. 16, item 's') the Government simply stated that fundamental changes in the machinery of Government were matters for ministerial decision.
1951-52	4th	26	The Committee recommended the appointment of a Board of Trade Attaché to the Foreign Office as a commercial diplomatic representative.
1955-56	7th	6	After criticising the layout of the sales areas of a company financed from public funds, the Committee suggested a re-organisation from the existing system of geographical sales division to a system of production division.
1956-57	2nd	69 } 103 }	The Committee recommended an immediate examination to be made of the possibility of merging naval research and development establishments working in other Government Departments. The Committee, however, added that the final decision on the exact establishments to be merged should rest with the Ministry of Defence.
			The Committee suggested that the military aircraft programme should be critically examined against the future background with a view to ensuring that the number of projects is the absolute minimum consistent with security. It also suggested that the question of co-ordination between guided weapons and aircraft should be carefully watched as there was clearly a sharp conflict of interest between the two fields.

THE ARCHIVIST AND PUBLIC ADMINISTRATION

V.K. Bawa

THE State Archives is associated in the minds of most people with musty records and ancient and slow moving staff, and is generally assumed to provide considerable leisure for historical research, completely unrelated to the practical problems of administration. This picture is to some extent justified when the traditional repositories of records in most parts of the world are considered. This is not, however, the picture which a modern archivist visualises when he plans the record office of the future. It is only recently that even the professional archivists in India have become conscious of the wider aspects of their work and of the implications of a wider dissemination of the principles of the modern archives keeping. It is proposed in this article to discuss some of the basic archival principles in so far as they impinge on current problems in the field of Public Administration. It is not proposed to go into the internal problems of an archives repository, such as methods of arrangement, analysis, description, cataloguing, indexing techniques of preservation, publications, etc. Although these problems are the major preoccupation of an archivist they are of less significance to others in the field of Public Administration. It is intended here only to consider the contributions, actual and potential, of the archivist to the solution of problems which face the administration as a whole.

NATURE AND USES OF ARCHIVES

Archives have been defined by Hilary Jenkinson as "(written) documents (or annexures to them) brought into being for the purposes of or used during a business transaction, public or private, of which they themselves form part and subsequently preserved by the persons responsible for that transaction for their successors in their own custody for their own reference".

Archives thus constitute that part of historical material which relate to the activities of the state. Every piece of paper used in any Government transaction, if retained, constitutes a part of archival material. Every administrative paper need not, however, be retained, as not all Governmental records are of value for historical purposes. The historian draws upon not only public archives but also upon private archives, which are the records of business firms, families, religious

institutions, as well as on data derived from archaeological and numismatic research, religious lore, and oral tradition. Archives need not necessarily be in the form of manuscripts or typewritten documents. They consist also of maps, plans, accounts, cheques, photographs; and of late films and sound recordings have also been included in this category.

The value of archives may be briefly stated as follows:

- (1) They provide data for the Government, and specially the administering department, to ascertain the reasons for a particular decision or the background of a particular case.
- (2) Scientific study of archives provides the material for the planning of economic and social policy in every sphere of governmental activity. This function has been most notably performed in India by the late Dr. B.S. Baliga of the Madras Record Office.
- (3) Records form the basis of our juridical system which presupposes the availability of material which throws light on many individual cases. The importance given by the Indian Evidence Act to decisions recorded in the course of business, to the production of the original document from proper custody (a mere copy not being admissible in evidence) and the fact that transactions required to be recorded in the course of official duty need not be proved in court—all these point to the very great importance of keeping documents in proper custody.
- (4) Archives provide a very large proportion of the material of history, particularly in a country like India where private records have either not been maintained, or else have deteriorated due to bad climate and storage condition. The world of history owes a debt of gratitude to the Nizam's Government for having preserved documents relating to the Moghul rule in the Deccan and the early Asafia rulers. The present emphasis in intellectual circles on Economic History has increased the value of papers relating to salaries, accounts etc. which could easily have been destroyed under less imaginative administrations.

The functions of a record office are derived from the above-mentioned aspects of the uses of archives. It is always necessary, however, to keep in mind the possibility of new uses for archives which may develop with the advance of knowledge. The traditional uses of archives may be completely over-shadowed by studies in Anthropology,

Geography, Public Administration, and even natural sciences like Geology.

It is the function of the record office to receive non-current records, to preserve and repair them, to safeguard them from fire, flood, theft and tampering and to make them available to the Government, to research scholars and to individuals who require them to establish a claim of some kind. In some record offices, such as that of the former Hyderabad State and the National Archives of India, the publication of selections from archives has also assumed great importance.

The agencies and individuals who make use of the archives for the purposes mentioned above are mainly as follows:

- (i) The Government, which for the most part means the creating agency, but may also refer to another part of the Government desiring to make use of the records;
- (ii) Research scholars, and others interested in history or family genealogy;
- (iii) Private individuals who wish to establish their claims in cases of disputed property rights, provisions of Sanads, Muntakhabs, pensions and other private claims.

For all these categories of customers, the archivist has to organise his material in an orderly and systematic manner and make it available to them.

THE REDUCTION OF ARCHIVES

With the proliferation of government activity in recent years, the reduction of archives has become a major problem to the administration. This problem is felt to a greater or lesser degree by every department. But its magnitude becomes a matter of major concern to the archivist. While the administrator tends to favour the destruction of many papers which appear to him useless, the archivist has to consider the needs for research by the world of scholarship and also to requirements of the Government itself at a later date.

The traditional methods of reducing archives are by transfer to other repositories such as libraries and museums, by a selective central registry as in Great Britain, by intermediate repositories, and by microphotography and sampling, accompanied by the destruction of the records themselves. A Joint Committee of the United States Congress used to examine the proposals of Departments for the destruction of records. But this was discontinued, and there was no

check until 1912 when President Taft required departments to submit proposals for reduction to Congress through the Congressional Librarian. Under the Act of 1939 and later practice departments are required to submit Disposal Lists for already accumulated records and Disposal Schedules for future disposal, especially of establishment records. The archivist of the United States, in his report for 1948-49, states that Disposal Lists are rapidly giving way to Disposal Schedules. This indicates that the reduction of archives is becoming systematic and has ceased to be the headache it once was to the archivist.

The British practice has been completely changed by the new procedure recommended by the Grigg Committee in 1954, which visualises a first review after five years by the department, and a second review after twenty-five years jointly by the department and the Inspecting Officer from the Public Record Office. It is notable in both the United States and the United Kingdom practice that uniformity of office procedure is not prescribed; each department is allowed considerable independence of action in regard to the closure of files, registration system, etc. The Madras type of disposal system, providing for the automatic destruction of a file after a prescribed period, has been considered but not enforced in the United Kingdom. It is left to the department to apply it or not.

The procedure in the Government of India is for files to be classified, at the time of recording, into Class A meaning "keep and print", Class B meaning "keep but do not print", and Class C meaning "destroy after prescribed number of years, 3, 5 or 10". Files of an ephemeral nature are destroyed when they are one year old and are not recorded.

The classification of files in the Madras Government followed the pattern laid down by Tottenham in the District Office Manual, namely classification into N. Dis., L. Dis., D. Dis., R. Dis., according as the files were returned, retained for one year, 10 years or permanently. The Hyderabad Government, in The Destruction of Useless Records Act of 1305 Fasli, authorised the various Government departments to draw up rules for the destruction of their own records.

It is noteworthy that none of the five systems described above have any systematic procedure for the reduction of archives from the historical point of view. The Central Secretariat Manual of Office Procedure expresses a pious hope that files relating to "any aspect of history, whether Political, Military, Social, Economic etc." or matters of "biographical or antiquarian interest" will not be destroyed. This is not at all satisfactory, as a non-expert cannot judge the historical value of a file without some rules to guide him. Even under the new

procedure in Great Britain the first review after five years is done by the department, and the Public Record Office is consulted only during the second review after 25 years, by which time many important records might have been destroyed. The American system of Disposal Lists for old records, and Disposal Schedules for future destruction appears to be the most satisfactory as it provides the archivist with an opportunity of scrutinising the proposals for destruction at a very early stage.

The picture which emerges is therefore that of the archivist, as a consultant on the disposition of records who, by virtue of his knowledge and experience of the needs of Government departments and research scholars, is in a position to evaluate the records proposed for destruction, without taking either a too sentimental or a too bureaucratic view with regard to their preservation. It should be pointed out here that archivists have discovered that the best way of reducing the volume of records is not by systematically weeding them, but by so simplifying the method of work that the quantity of records produced will be comparatively small. This will be considered in the subsequent section on record management.

INTEGRITY OF ARCHIVES

The true significance of a document can be appreciated only when it is studied in relation to the transaction of which it formed a part. The arrangement of archives must therefore be designed to illustrate that relationship, and for no other purpose. This principle of arrangement has now been accepted by archival authorities all over the world. A document forms a part of the series in which it originated and the removal of a document from that series immediately lessens and sometimes obliterates its evidential value, both in a legal and a historical sense. Some authorities refuse to accept a paper once separated from its series, even if it is offered to be returned to the archival repository where it belongs. This is because the document has been open to alteration and its genuineness must necessarily be in doubt due to its absence from proper custody.

The question of integrity of archives has two aspects. One is the method of arrangement to be followed in an archival repository and the second is the question of division of records in case of the partition, disruption or discontinuance of an existing juridical and administrative authority.

(i) Principles of Arrangement

A nation-wide public archives administration was established for the first time by France after the Revolution and records of the pre- and

post-revolutionary periods were separately grouped. On April 24, 1841, a circular was issued by the Minister of the Interior laying down the principle of *respect des fonds*, according to which all records originating with "our administrative authority, a corporation or a family" are to be brought together into a "fonds" within which the records are to be arranged by subject-matter and thereunder either chronologically, geographically, or alphabetically". This principle was not consistently followed in France but it represented the first step in scientific archives principles. The Prussian archives accepted the principle and it was embodied in the circular of the Director of the State Archives, the historian Von Sybel, issued on July 1, 1881. This circular laid down first the *provenienzprinzip*, or principle of provenance, and secondly the *Registraturprinzip*. The first principle laid down that the arrangement of records was to be according to the provenance of the constituent parts. The second principle laid down that papers within a series were to be maintained in the order in which they are registered by the Ministry or agency concerned. This was based on the assumption that the registry office of the Ministry arranged its papers in a logical and systematic fashion. The same principle was accepted by the Dutch archivists Muller, Fruith, and Fruin, who gave it a theoretical justification in their manual published in 1898. They emphasised the necessity of the archivist restoring the "original order" of the records in a registry, and compared it to the work of a paleontologist who joins together the skeleton of a pre-historic animal although many of its bones have been misplaced and some are missing altogether. The skeleton of an archival body they regarded as the main series containing the proceedings of the administrative body concerned.

The English archivist Hilary Jenkinson criticised this methodology by pointing out its inapplicability to what he described as an "invertebrate" archive group, that is one having no main series. Such a group are the treaty series of the Government of India and the Firman series of the Nizam's Government, collections of documents which bear no intimate relation to each other but have been filed together because of similarity in form or for some other reasons. The problem in English archives was different to that on the Continent, because the registry contained not files but rolls containing entries on inward and onward documents. Jenkinson therefore suggested an analysis to determine the functions of the administration which produced an archive group.

The term "archive group" in England and "fonds" in France correspond to the American term "record group". The archive groups of Britain are, however, accumulations of records of "an administration which was an organic whole, complete in itself, capable of dealing independently, without any added or external authority,

with every side of any business which could normally be presented to it." The American "record group" consists of records of several units of varying status and authority in the Government hierarchy, which may or may not be subordinate to a single authority. The French "fonds" is a collective record group, as it comprises the records of a number of agencies having common characteristics.

The problems facing an archivist in regard to arrangement of records are: (i) the determination of the unit, such as record group, archive group or fonds, (ii) the determination of the principle of allocation of records, (iii) the arrangement of record groups, (iv) the arrangement of elements within the record group, and (v) the arrangement of single documents. These problems have to be faced in the work of every record office. In the carrying out of this task the rich experience of the European and American archivists will be of immense help to the archivist in India.

(ii) *Division of Records*

The chequered history of Europe during the last four or five hundred years has given ample opportunity for the development of a theory and practice relating to the division of records. Provisions regarding the transfer of records began to be entered in the treaties at the end of the Middle Ages. According to the so-called principle of pertinence established in the late eighteenth century, the successor states divided the records of Poland after the third partition of that country. The looting of archives from all over Europe by Napoleon made the public conscious of the value of records as a source of national sentiment. The treaty of Vienna in 1866 established in international practice the principle of *respect des fonds*. Italy and Austria retained the archives of the territory ruled by them. They promised to allow copies to be taken in the interests of scholarship but not to move the records from their proper repository. The principle was confirmed by the Treaty of Frankfurt between France and Germany in 1871, and formed the basis of Poland's claims for the extradition of records looted from her since 1772, confirmed by the Treaty of Versailles. The principle unfortunately received a setback with the division of the archives of the Austro-Hungarian Empire, but this was for political reasons.

The principle has equal applicability in the national as in the international sphere. It received a great impetus when the records in the National Archives of India were not divided on the partition of India in 1947, but copies were made available of records required by the other Government. Although it was ignored during the separation

of Orissa from Madras in 1936, it was more or less scrupulously observed during the reorganisation of States in 1956. The decision to keep the archives as a unit was based upon a resolution of the Indian Historical Records Commission urging the necessity to preserve the integrity of the archival collection.

PERSONNEL

If it is conceded that the archivist has a vital role to perform in the healthy functioning of the administration as a whole, then the problem of the selection and training of an archivist ceases to be a narrow problem of a specialised field and becomes a matter of interest to all departments.

As to what should be the background and qualifications of an archivist there is no agreement among countries advanced in archival science. The traditional 19th century practice was to choose a historian as an archivist, to enable him to work on the archives for purposes of historical research. Recent opinion has however veered in favour of the view that a historian tends to take a too narrow view of his functions and to specialize in some branch of historical research at the cost of his duties to the repository as a whole. Jenkinson holds the view that the primary duty of an archivist is to preserve the records, and this he discusses under the two heads of the "physical" and "moral" defence of archives. The preparation of guides to records generally is thus relegated to a second place in his scale of duties.

While in the United Kingdom recruitment to the Public Record Office is from universities which favour the classics, the German practice is to require a Ph.D. degree in history as a prerequisite for archival training. The trend in America is towards a shifting emphasis from history to the social sciences. There was till recently also a less desirable increase in the emphasis on Library classification system, such as the Dewey decimal system, which classify records according to subject-matter instead of according to the office of origin. There are post-graduate courses in Archives Administration organised by American Universities in conjunction with nearby record offices. The main consideration in the training of archivists should be a sound academic background and a grasp of the social sciences, particularly Public Administration. Persons with narrow academic interests are likely to do more harm than good. It is desirable, therefore, to recruit junior lecturers and civil servants with scholarly interests and broad outlook on life and give them thorough training for about six months. Recruitment or appointment should be made on an all-India basis and not only from persons domiciled in the state concerned.

RECORD MANAGEMENT

A recent article by Arthur Naftalin in this *Journal* (Vol. IV, No. 4, October-December, 1958) pointed out that specialisation in the field of management research and analysis has developed in America to the point where a large organisation is expected to employ not only experts in Organization and Methods, but experts in the application of machine methods, work measurement, forms control, record management etc. It is doubtful whether such specialisation is necessary or desirable in a comparatively less advanced system such as ours. It would appear necessary, however, to give some weight in the planning of administrative reforms to the opinion of certain departments, such as the record office, which by the very nature of their work have to deal with all departments and are, therefore, in a position to provide competent advice on points of administrative reform.

When the National Archives Establishment was transferred to the General Services Administration of the United States by an Act of Congress* in 1949, the administrator was authorised—

- (i) to make surveys of Government records and records management and disposal practices and obtain reports thereon from Federal agencies;
- (ii) to promote in co-operation with the executive agencies, improved records management practices and controls in such agencies, including the central storage or disposition of records not needed by such agencies for their current use;
- (iii) to report to the Congress and the Bureau of the Budget from time to time the results of such activities.

Considerations, which specially qualify the archivist to be consulted in matters of administrative policy, and which are based upon the principles of archival science which have been discussed in the preceding sections, are:

- (1) The classification and arrangement of records, as discussed in the section on 'Integrity of Archives' is based upon the organisation of the department where the records are created. To provide for a smooth transfer of records from the creating agency to the record office, there is need for advance planning and co-ordination between the two departments. The record officer of each department should be trained in the State Archives and be able to visualise the needs of the permanent repository of the records created by the department. In some countries

*Federal Property and Administrative Services Act of 1949, quoted in Appendix I of Fifteenth Annual Report of the Archivist of the United States, 1948-49, United States Government Printing Office, Washington, 1950.

the record officer is even under the control of the archives, but in a homogeneous administration such as ours this may not be necessary.

(2) The archivist is vitally concerned with the reduction of records as has been discussed in the section on 'The Reduction of Archives'. He is therefore naturally anxious to simplify administrative procedure and cut down red tape. At the same time he is anxious to see that every important decision is properly recorded, for the sake of posterity. He will not therefore encourage slipshod methods in office procedures.

(3) The archivist, due to his familiarity with the records of many agencies, can be assumed to have a fund of information on administrative history, the merits and dangers of particular administrative reforms and on the precedents and background of administrative policies proposed in the future. He would therefore be of great assistance to the Organisation and Methods division of the Government as well as to all officials concerned with the planning of administrative policy.

The archivist enjoys a peculiar position in the modern set-up. His traditional lines of contact with museums, libraries and the world of scholarship have to be retained. At the same time, if he wants to do his job well, he must not take a too narrow view of his functions. The whole field of Public Administration falls within his purview in as much as he has to deal with all departments of government and to know the subject-matter of their records. The record office is a service agency which serves all departments of government like the Stationery Department, the Supply Department, the Buildings Division of the Public Works Department, the Printing Press etc. It would be interesting to examine whether all these service agencies could not be brought together under a General Service Administration as has been done in United States with considerable success. In any event, the peculiar role of these agencies should be recognised and given its due importance in the planning of administrative reforms.



"Management can rarely achieve its aims by command alone. Men do not spring into action when buttons are pressed and orders go down the line. Authority is not automatically enforced. The task of management, both public and private, is to provide the kind of leadership that produces spontaneous and cooperative effort rather than to impose authoritative decisions."

—MARVER H. BERNSTEIN
(in "*The Job of the Federal Executive*")

EXECUTIVE DEVELOPMENT PROGRAMMES IN AMERICAN UNIVERSITIES

A. Dasgupta

EXECUTIVE Development programmes in U.S.A. are organised by universities, professional societies and companies.* About 500,000 middle and top executives receive formal education in management every year. Professional societies account for 40 per cent of the candidates, the rest being divided equally between universities and companies.

It is only during the last decade that the university has assumed its role in such teaching. Harvard and M.I.T. (Massachusetts Institute of Technology) however, have programmes that date back farther than that. In 1931 the M.I.T. introduced the first Executive Development programme to make engineers useful in policy making areas and to assume the leadership of important aspects and functions of the business in which they were employed. This programme is still in operation and is known as "Rhodes Scholarship of America". The Harvard programme commenced in 1942 followed by the Wharton School Finance and Commerce (Philadelphia) and the University of Pittsburg in 1949. Thus till 1949 there were only four universities in U.S.A. which were concerned with Executive Development programmes. Today at least 30 of the foremost American universities are running some form or another of Executive Development programmes. The university courses vary in length from two to fourteen weeks, with a total capacity at one time of some 2,000 students.

Of the professional societies, the American Management Association occupies the first place in regard to management training programmes. It conducts a diversified programme of activities designed to help the busy executive in every conceivable area and at every step in his development. The Association has ten operating divisions which correspond to major areas of management : Finance, General Management, Packaging, Personnel and Research and Development. Each division has developed a full programme of conferences, seminars, and courses to bring executives together for exchange of experience and management know-how, for knowledge of fundamentals and for information on current developments in their respective fields. A

*For details, please refer to "1958 Guide to Intensive Courses and Seminars for Executives" compiled by American Management Association, New York.

conference lasts usually 4 to 5 days and is attended by a large number of executives for discussion on a variety of topics. Two conferences are organised a year by each division where authoritative speakers and panel discussions are presented. Seminars are arranged to last from a few days to a few weeks for a limited number of executives for intensive discussions on a single topic. The A.M.A. holds more than 800 seminars annually. A course of the A.M.A. is an integrated but broad educational programme of more than two weeks' duration where a co-ordinated staff is utilized for instruction.

Executive Development courses in universities are different from part-time evening management courses, which many universities are now offering to persons who are engaged during day time. An Executive Development programme requires that the executive should lay aside his day-to-day responsibilities in the company and go back to college to become a twenty-four-hour-a-day student for two to thirty weeks. There are about 32 different "on campus" courses in operation in the different recognised universities. The duration of each of these courses is less than a year and is not open to regular students. About 15 of these are offered on an annual basis, while the rest have 2 or 3 sessions a year. Course variations provide opportunities to a company to fit in the needs of a specific executive. All the same, there are certain functions which are common to all executives. An executive has to analyse problems, lead men and influence his community.¹ Also, his status is becoming more and more that of a co-ordinator of diverse interests in the modern industrial firm. Though the objectives of the university programmes are stated differently, each tries to teach the executive to broaden his outlook, improve his thought process and his analytical abilities, so that he can perform his functions in the interest of his organisation, employees, customers and community.

Here, for example, are three typical programme objectives :

1. (i) Developing each participant so as to make him a better man in his immediate job;
- (ii) Assisting the participating companies in the development of individuals capable of assuming positions of wider responsibility in top management (Harvard: Advanced Management Programme).
2. To provide participants with a broader framework, in which an understanding of the major corporate forces—economic,

1. National Industrial Conference Board, *Studies in Personnel Policy*, No. 160, New York : 1957, p. 5.

human, technical and institutional—can be used to solve basic business problems (M.I.T.: Programme for Senior Executives).

3. (a) To develop the ability of the participant to think and act in the interest of his company's operation as a whole;
- (b) To broaden the vision of the participant beyond the departmental areas in which he is working and interest him in all the aspects of management that are essential to successful business operation;
- (c) To emphasise the importance of human relations in organisation; and
- (d) To develop an understanding of the influence of the broad social, economic and political factors within which business must operate today (Pittsburg University: Management Problems for Executives).

Some hoped for by-products of the programme are for each participant to:

- “1. develop awareness of ‘area of ignorance’;
2. grasp relationships between fragmentary blocks of knowledge;
3. see that scope and viewpoint determine the relevance of facts;
4. recognise that ‘possibilities’ emerge from ‘difficulties’;
5. develop the techniques of formulating questions that lead to alternatives;
6. distinguish consciously between facts, opinions and assumptions;
7. detect the dangers of assuming understanding;
8. discover respect for other’s thinking;
9. find hidden strengths of knowledge and insight in oneself;
10. acquire a hunger for continuing knowledge and self-development.”²

At this point, we may mention the reasons for the need of such programmes in the American economy. Because of the increasing competition, many companies are in need of good managers in vital positions. Technical men and specialists who are being called upon to perform managerial jobs find difficulty in functioning as generalists. The American Management Association estimates that in all industries of U.S.A., about 27 per cent of the top executives are the engineering

2. North-Western University, *Institute of Management*, Chicago : 1959, p. 7.

graduates. Then again, no organisation can expect the best of performance from its workers unless there is an atmosphere of co-operation and team spirit. The managers need to have leadership qualities to invoke such atmosphere.

With regard to the age of the participants, a university feels that the greater the length of industrial experience, the greater the ability of the participant to benefit from the programme. All the same, it has been found difficult to judge individual differences in the flexibility of outlook. Today, in most cases, the average age tends to be in the early forties with the range between 35 and 55. And the salaries range between \$10,000 to \$20,000 a year.

The universities require that the applications should come from the members of middle and top management, who hold responsible positions either in the staff or line organisation. Persons who have been recently promoted or are about to be promoted to responsible positions are also considered for admission. Women are not accepted in most of the programmes. There are no formal educational requirements for admission.

The participants must be sponsored by their companies, and be released from regular business responsibilities. Small companies, therefore, find it difficult to spare their men for the training period. Consequently, in most of the programmes, the participants are from large companies. All participants study, work and sleep in the same campus. The size of a group in a programme varies from 16 (as in M.I.T.) to 160 (as in the Harvard).

In most of the university programmes the teaching is in the hands of the full-time members of the staff. Guest speakers are occasionally brought in to make available to the class members the best thinking and the most up-to-date information on a subject.

Fees for instruction and books differ from institution to institution. The charges of the M.I.T. are \$2,500 for 10 weeks; of Harvard \$2,400 for 3 months and of Pittsburg \$1,400 for 8 weeks. The employers normally pay the programme fees.³ The M.I.T. gives each Sloan Fellow financial aid to cover some portion of his costs.

II

How could universities enlist the support of the industry with regard to their programmes?

3. Allison, V. MacCullough, a well-known American Management Consultant, has made a continuing survey of the university's part in the programme, estimates that 1,000 American companies are spending more than two million a year to send their more promising executives to university training programmes.

The status and prestige of persons who are in business are second to none in the United States. Till recently, only a small proportion of university graduates were attracted to government employment, and the majority went in for jobs in industry. Naturally, therefore, the universities have been always eager to provide for business education. It is quite common in U.S.A. for industry to keep contact with a university. Not only are scholarships and financial aids liberally donated to universities, but business projects which require research and investigations are given to universities to work out results for which the industry bears the entire or major cost with no strings or conditions attached. In fact, the American industry is a great supporter of research. The American industry also makes extensive use of university teachers as consultants. Conversely, experienced executives who have the inclination and ability to teach make real contribution to the university classes.⁴ The other contributions of the Business to universities are communication of documents, assistance given to case analysts, placement of graduates etc. At the same time, it must be emphasised that no university has surrendered its academic freedom to the business community.

The Executive Development programmes in universities are therefore viewed with high hopes by the companies which sincerely believe that their executives can get stimulation, courage and imagination for action from their contacts with university programmes. Moreover, the participants go back with a feeling of consummation and exalt the programmes before their respective companies "to repeat order".

The universities admit that they can never substitute on-the-job-training which an executive gets from his daily functions. The companies too, know that there is no substitute for a university course which, invariably, offers a broadening influence. Ordinarily, a participant in a university programme goes through certain steps: First, an instruction in the fundamentals and the latest developments in the curriculum subject-matter, which tends to improve him in his executive position; secondly, acquaintance with the latest developments in the all important area of human relationships; and thirdly, acquaintance with the liberal aspects of the social, political and economic forces related to the business world. Each executive is exposed to lengthy discussions for exchange of ideas with other participants and teachers

4. "Without it, the schools might lose their practical approach in the sea of unrefined theory, while businessmen would fail to avail themselves of a fine source of broad executive training and stimulation." (*Vide : Business Looks at Business Education : A study sponsored by School of Business Administration, University of North Carolina, 1958, p. 17.*)

during the training period. There is little doubt that a measure of useful knowledge is garnered as a result of such contacts.

There is no emphasis on specialisation as such in a university programme. The subjects comprising the curriculum cover the major areas of management and are developed primarily from a policy viewpoint rather than from a technical angle. The subjects can be grouped under four heads:

1. Planning and Policy
 - (a) Business Policy
 - (b) Administrative Practices
 - (c) Organisation and Control
2. Business functions
 - (a) Marketing Administration
 - (b) Cost and Financial Administration
 - (c) Statistical Control
 - (d) Managerial Accountancy
3. Human Relations
 - (a) Problems in Labour Relations
 - (b) Communications
 - (c) Personnel Development
4. Public Relations
 - (a) Business and Government Relations
 - (b) Business and American Society

Though teaching methods should be related to the subjects to be taught, there are two different approaches in this regard—the compartmentalised method and the clinical method. In the compartmentalised method, each subject receives separate treatment for giving specific knowledge to the participants. Lectures by faculty staff and outside specialists receive major emphasis. Since the fundamental skill that is required in business is the ability to apply what has been learnt, the “clinical approach” is made in regard to teaching so that the trainees can be active in the educational process. Conferences and discussions take the place of lectures. The case method of teaching is a clinical approach. During the last twenty-five years, a large number of lawyers were trained by case method, and its success in this sphere led to its use in the education of managerial trainees in business and industry.

The case method is the teaching-learning process used in the Advanced Management Programme at Harvard which believes in

the effectiveness of "learning by doing".⁵ Cases are supplemented by the experience of the men themselves and of the faculty members who always make themselves available for discussion outside the classroom. The Harvard cases are drawn from the actual business situations. A case is discussed by several study units which are similar to syndicates at Henley. There are some faculty members who feel that uses of cases cannot be very purposive where the primary emphasis is on the development of sharp analytical concepts, and suggest that other methods like lectures, role-playing should not be discouraged. Unless a case is carefully prepared, it cannot be a teaching vehicle.⁶

At Pittsburg, for the first week or ten days, lectures, textbooks and mimeographed assignments, and discussions are provided to develop basic principles in different subjects. This furnishes class members with a sufficient background to understand case studies. During each session, a business game is played by all the class members which involves the use of an electronic computer as an aid in the making of management decisions. Several inspection trips to plants are included in each session of the course. The main advantage of such visits is the opportunity for each group to gain experience for subsequent group discussions.

At the M.I.T., the seminar method of careful reading preparation and full discussion is typically followed. Cases are only used where they are useful.

The case methods that are followed in the different universities are of three types. The first type involves the presentation of a case problem that fits the subject-matter under discussion. Usually it describes a human relation or a technical problem. It is only 2 or 3 paragraphs in length and does not include much background information, and consequently the depth and breadth essential to a rigorous, systematic analysis are limited. There is usually a single correct answer on which most members of the class can agree. Such limited objective cases are very effective as a training medium for beginners in management courses.

The second one is known as Incident Process and is followed only at the M.I.T. for analysing cases. A case is presented in three or four sentences to the participants who ask for additional information from the teacher in order to have a full-length case report. Proposals for solutions are discussed, and a final conclusion reached, even by

5. "the case method stands as the signal contribution of the Harvard Business School to education in the profession of business administration." (*Vide: Mc Nair, M. The Case Method at the Harvard Business School*, New York : McGraw-Hill, 1954, p. viii).

6. Interview by the author, April, 1959.

actual vote. It is a new technique for analysing cases. Dr. Paul Pigors, the propounder of this method thinks that while thinking and analysis are important in the solution of a problem, much emphasis should be placed on the solution itself.⁷ The advantages of the method are that it requires no pre-class preparation on the part of the participants; its collection is not expensive on the part of a university; and it encourages ready participation from the students.

At Harvard, a case problem is quite lengthy and consists of several thousand words. All important facts and information, which a student may like to know, are supplied in a case. At the same time, the Harvard method is not keen on all facts of a case, because in actual life, decisions are often taken without all facts. The important point is to discover the need for a specific fact. A good deal of pre-class preparation is required, for which the classes are adjourned in the afternoon whenever there is a discussion on the next day. A case-study may not be very effective for conveying factual information, but it does develop flexibility and adaptability in thinking for orderly problem solving and brings home to the student the fundamental truth that "management is concerned with people and their changeable, irrational, emotional and unpredictable behaviour."

Another approach of teaching, in particular for human relations, is the "laboratory" approach when a "leader" takes the charge of a study group for direct observation and analysis of the processes of human relations. "Under the guidance of the trainer, the group examines its own behaviour to discover what happened, why it happened in that way, and what could have been done to facilitate the work

7. "Our analytical method is made up of the following phases:

- (1) At the beginning of each session, the whole discussion group starts from scratch on a new case, by briefly studying an incident which the leader gives out.
- (2) Then, in what amounts to a group interview of the Team Leader, discussion members "get the facts". (In this and succeeding phases, we take the role of some insider; trying to see and to appreciate the facts, as though we were actually involved in their consequences).
- (3) Next we determine: What needs to be decided ? After making up our minds about that, we—
- (4) Are ready to decide what should be done about it. First we commit ourselves, individually, in writing. Then (after finding out how the group as a whole subdivides), we get together in subgroups of like-minded members. In this way we consolidate our reasoning, and elect spokesmen. Each of these representatives outlines the position of his "constituents". But instead of fighting it out along these lines, we test the strength of these positions by getting more facts. The Team Leader now tells us what actually was decided, in the case situation, and (if he knows) how this decision worked out.
- (5) Finally, we extend the phase of decision. We think back over the whole case (to evaluate behaviour), we connect it with other situations (to find common denominators) and we think ahead about preventive measures that might be useful in that kind of situation, and that we ourselves might apply in future).

(*Vide: Pigors, Paul and Faith. Case Method on the Spot-incident Process—learning by doing. (Reprint from Adult Leadership, January, 1955).*

of the group. From such a start, the group embarks upon a self-determined series of activities designed to develop an understanding of group processes, to develop skills in handling human relations problems, and finally to work out ways of applying the results in the normal work setting.”⁸

III

The success of the Executive Development programmes in universities is due to the fact that the organisation and planning of the curriculum has always followed the course objectives. Moreover, the teaching members do not hesitate to mix with the participants for sharing knowledge and experience. The exchange of ideas with the participants is an exciting and rewarding experience for the teachers, many of whom have published papers on the basis of such discussion.⁹ In fact, this rapport is one of the finest traits of American universities, and has given warm faith and confidence in the programmes on the part of the students. The integration of the course is possible because of the full co-operation among the members of the teaching staff in presenting the subject-matter in a collective team manner.

As regards the set-up of management departments of American universities, generally the measure of their autonomy precludes as close a collaboration with related technical disciplines like Sociology, Economics, Law, Psychology, Statistics and Mathematics as is imperative in the interest of management science. There is greater need for integrating the related disciplines to interpret management problems.

As stated earlier, the programmes do not have many participants from small business. It is in this section of business where the rate of failure every year is on the increase because of poor management, or inadequate capital or inferior quality of products and services.

Business failures in the United States, 1948-1956¹⁰

Year	Number of failures
1948	5,252
1950	9,162
1954	11,086
1956	12,704

“The life of the average business, specially small business, is quite short. Nearly 60 per cent of the concerns that failed in 1954 had been in business less than five years.”¹¹

8. Seashore, S.E. *The Training of Leaders for Effective Human Relations*, UNESCO, 1957.

9. Interview by the author, April, 1959.

10. U.S. Department of Commerce. *Survey of Current Business, 1949-1957*.

11. Keith, L.A. and Gubellini, C.E. *Business Management*, New York; McGraw-Hill, 1958, p. 18.

The rate of business failures even in the case of small business can be reduced if the executives are made more effective in their tasks as organisers. Since such executives cannot join full-time Executive Development programmes, many of them do take advantage of the evening courses in management which have of late, become quite popular all over the country.

It is very difficult to test the attitude of co-operating companies toward Executive Development programmes. The obvious test is whether the same company sends fresh participant from year to year. The enrolment trend is not steady except in the case of a few well-known universities. The University of Portland had dropped its programme altogether. The course at the Case Institute of Technology was suspended for a time and is now being reviewed. The University of Richmond is recovering from a major drop in enrolment. The M.I.T. programme like a few others of the different universities has had a growing enrolment. There is hardly a company which, after having an executive in the M.I.T. programme, does not wish to repeat the experience with others of its staff.¹²

Though companies encourage their executives to repeat the experience, in many cases the executives are sent to the wrong programmes from which they derive no real value.¹³ The universities are not to be blamed for this wrong selection of programmes. There is need for joint responsibility by the university and the company in selecting and assigning the executives in order to minimise economic and human waste. A company must realise that no two programmes are alike: they differ in objectives, in contents, in subject-matter and in the learning process. It has been observed that in most cases, the executives who select candidates also decide the courses. The selection of the course is rarely done by the candidate himself.

Another setback to the effectiveness of persons trained in Executive Development programmes is the rather unreasonable expectation that they can work miracles immediately after the completion of their courses. Executives, too often, riddle them with test problems without giving them ample time to relax and examine the feasibility of applying their newly acquired skill to the conditions under which they have to work. It has been found that given sufficient time they can properly adjust their ideas to the environment and handle problems successfully.

12. Schell, Erwin H. and Bradshaw, F.T. *A Dialogue of Executive Development*. (Advanced Management Reprint, March 1957, p. 6).

13. Allison V. MacCullough reports that 15 to 25 per cent of the executives are in the wrong programmes. Some of the directors go so far as to say that only 40 to 60 per cent of participants "derived any real value" from the programmes.

The senior executives should not hesitate to provide adequate opportunities to such trained persons at different stages of operations.

Executive Development programmes are concerned with executives who differ as to the nature of the functions they perform, the kind of industry in which they operate, the degree of authority they possess and the size of firms where they operate. Quite a few companies think that it is not possible for a university to take all these aspects into consideration and arrive at any business philosophy of general application. There are complaints that some universities immodestly over-estimate their objectives. Sweeping announcements like "developing executives for responsible leadership", "developing participants as future top-managers", "developing appreciation of his responsibilities in community, state and national affairs" and so on will do more harm than good because what a company expects of a university is that it should impart an understanding of the problems involved and stimulation of the natural qualities of imagination. Some also feel that too much emphasis on social responsibilities in the programmes of universities has blurred the real goal of business. Unless an executive helps his organisation to run it profitably, can there be service to the employees, customers and investors? There are some faculty members who endorse such views though on different grounds. "... if we go beyond this with excessive talk and emphasis upon 'social responsibility' of business and the acceptance of 'service' as an ideal, we will be denying the basic principles of individualism and of free enterprise. We will instead be playing into the hands of those who would prefer a controlled economy, a Welfare State and a reversion to status."¹⁴ They however suggest that teachers should give their students "an appreciation of the social role of business and an understanding of the subtle paradoxes that reconcile the individualistic profit motive with human welfare." We may mention here that there has grown an explicit interest in the public good as an important goal of business behaviour in contrast to simple emphasis on profit.¹⁵ This has not in any way damaged the traditional values of the freedom of managers to manage and of the opportunity for workers to achieve their rights.

A few companies hold the view that the faculty members should have some experience of industry to appreciate the nervous and emotional strains which the executives normally go through in performing their functions.

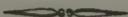
14. Griffin, C.E. "Reflections on the Schools of Business", *Michigan Business Review*, May, 1955, p. 8.

15. Bach, G.L. *Some Observations on the Business Schools of Tomorrow*, Graduate School of Industrial Administration, Reprint No. 19, Pittsburg: Carnegie Institute of Technology, 1958.

It is generally agreed that a university has a social obligation to the training of business leaders, which must not be left to chance to emerge from purer pursuits of humanities. Whether the teacher should have industrial experience or not, he can still be effective if he employs the basic principles in digging into the essential nature of the problems and attempts to conceive new principles therefrom. A teacher need not exalt "the practical" at the cost of theory. He normally concentrates on developing true understanding, courage and perspicacity in the participants so that they can have foresight out of understanding, and an urge for action out of courage and perspicacity. Business dynamism demands these qualities in its executives.

The *sine qua non* for managerial, employee and public relations are human relations. Skill in human relations has come to be regarded as one of the critical requirements for effective leadership at all levels of an organisation and in all kinds of organisation. In most cases, these are the central areas of the executive functions, and not science, engineering or technology.¹⁶ The need for understanding in the field of human relations is of prime importance to an executive without which he cannot feel confidence in his own decision and becomes hesitant, and panicky.

A university cannot train a person in the complex technologies and intricate techniques with which a manager must be confronted later on. His logical acuteness and analytical ability to understand these complexities and their relationships, can, however, be developed by university programmes along with the enlargement of his practical viewpoints and personal philosophy for business life and its decision. These are no mean achievements.



16. Barnard, Chester, *Organisation and Management*, Harvard University Press, 1949, p. 208.

A NEW PERSPECTIVE FOR O & M

A. Avasthi

THE central O & M Division, which was established in March 1954, has completed five years of its existence.¹ During these five years O & M has gradually spread to States. Andhra Pradesh, Assam, West Bengal, Bihar, Bombay, Kerala, Madhya Pradesh, Rajasthan and Uttar Pradesh have set up O & M units.² The Special Re-organisation Unit (Economy Division) of the Department of Expenditure, Union Ministry of Finance has, since its re-organisation in 1956, successfully applied the use of Work Study techniques to assess work loads and to determine staff complements on scientific basis in selected Government organisations.³ Some useful work in the field has also been done by the Programme Evaluation Organisation of the Planning Commission created in August 1952 (in regard to evaluation aspect only) and by the Committee on Plan Projects set up by the National Development Council in 1956 to undertake, among others, "studies with the object of evolving suitable forms of organisation, methods, standards and techniques for achieving economy, avoiding waste and ensuring efficient execution of projects."

It is generally accepted that the central O & M Division has been successful in creating an O & M consciousness throughout the Government of India, in improving the speed of disposal through the mechanism of control charts, special case studies and personal attention, in standardising and simplifying office procedures, etc. There is, nonetheless, manifest a growing dissatisfaction in many quarters with the existing form and role of O & M in the Central Government. Some feel that O & M has outlived its purpose; and that it is

1. The aims and objects of O & M in Central Government were outlined by S.B. Bapat in an article in the *I.J.P.A.*, Vol. I, No. 1, for January-March, 1955. The origin of O & M in India can be traced to the period soon after the second world war when an O & M unit was set up in West Bengal Secretariat by R.G. Cassey, the then Governor. The establishment of a Central O & M Division was first recommended by the Officer Shortage Committee in 1947; when N. Gopalaswami Ayyangar made similar recommendation in his *Report on the Re-organisation of Machinery of Government* in 1949; this recommendation was supported by the Planning Commission in 1952 in the First Five Year Plan and by Dean Paul Appleby in his first report in 1953.

2. Recent trends in the States are in the direction of re-organisation of the district collectorates, integration of the administrative organisations for local government and development, and more effective co-ordination among the technical personnel of the field offices of the various departments of the State. Several States have also instituted inquiries into their administrative organisation and procedures.

3. For a detailed description of the activities of the S.R.U., see Indarjit Singh and K.N. Butani, "Work Study in Government Organisations", *I.J.P.A.*, Vol. IV, No. 2, April-June, 1958.

wasteful of time and energy rather than an instrument of improving efficiency. For many others the real O & M work has been undertaken by the Special Re-organisation Unit. The Estimates Committee of Second Lok Sabha has in its recent 55th Report, recommended "a thorough review of functions and the organisations of both S.R.U. and O & M Division and the O & M cells in the various Ministries". The Committee has also recommended their amalgamation.⁴

Some of the current criticism of O & M seems to be ill-informed; other indictments do not take into account the true nature and functions of O & M in India and the well known but commonly forgotten truth that it is never possible to conceive and erect at one stretch an ideal administrative agency with a perfect programme of action in any field of governmental activity. Administrative organisations, charged with new programmes, have to begin their career on a limited scale and develop and extend their activities as they grow up to maturity. Some of the present confusion and blurring of responsibilities arise partly from the lack of clarity about the basic concepts and techniques, such as "O & M", 'Work Study', etc.

O & M OR WORK STUDY ?

In the U.S.A., Work Study is used in a narrow sense to indicate a technique or tool of O & M; and the concept of O & M (Organisation and Management, as the Americans call it) is much wider and more comprehensive. On the other hand, in Great Britain, the reverse is the case. The term O & M is used in the restricted sense of organisation and methods, and Work Study is said to claim equal status with O & M as a technique.

Work Study has been defined as comprising all "systematic activities concerned with the investigation, recording, measurement and improvement of work".⁵ The term is used to indicate two distinct yet completely interdependent techniques namely 'Method Study' and 'Work Measurement'. 'Method Study' aims at improving methods of work, resulting in more effective use of staff, equipment, stationery, space, etc. 'Work Measurement' is concerned with the 'work content' of the task itself. It assesses human effectiveness. Thus, the chief objective of Work Study generally is to study the work load of employees, to set up a 'norm' or 'standards' and to assess requirements of personnel. The purpose, mainly, is to cut down the surplus personnel and effect economy.

4. Estimates Committee, 1958-59 (Second Lok Sabha), *55th Report, Ministry of Finance (Department of Expenditure)*, New Delhi, Lok Sabha Secretariat, 1959, p. 16.
 5. Quoted in H.P. Cemach, *Work Study in the Office*, London, Current Affairs, Ltd., 1958 p. 20.

O & M, on the other hand, is a more comprehensive concept than Work Study. Even when used in the restricted British sense, it describes the study of the organisation of public bodies and of the office procedures they adopt with a view to improving both. The term, thus, includes two elements—Organisation and Methods. So far as organisational reviews are concerned, these fall solely within the sphere of the O & M unit. As regards Methods, the O & M units are expected to carry out reviews of procedures and systems. In conducting such surveys they adopt the well known techniques of work simplification and work measurement. This implies a clear affinity with the programmes of Work Study. Work Study, thus, becomes one of the techniques used in O & M work.

It needs to be emphasised that the term 'O & M' is used here not as a *technique* (which is also sometimes done) but as a *function* or activity, which is the responsibility of a particular agency. The term O & M, when used as a tool of management, is generally hardly differentiated from Work Study.⁶ But, considering both the classical and modern theories of administrative organisation, it would be unfair to use the term 'O & M' to connote a technique—a point which is explained in detail in the paragraph following the next.

The prevailing confusion about O & M and Work Study arises in a large measure from the claim made in certain quarters that it is possible to build up an entire organisational structure on the basis of work studies. This seems to be the view held by the top management of the Special Re-organisation Unit. In their joint article, Messrs. Indarjit Singh and K.N. Butani⁷ observe that "Having regard to the circumstances of administrative set-up in the country, it has been found more profitable to make an analysis of the organizational structure only after the methods of work have been carefully planned out and simplified. This is specially true in the organizational set-up of the secretariat of the government. The

6. H.P. Cemach, a great enthusiast for Work Study, likens the controversy between O & M and Work Study "to the quarrels of a young couple who intend to be married in the near future (*O & M Bulletin*, April, 1959, Letter to the Editor, p. 119.) In another Letter to the Editor, *O & M Bulletin*, October, 1959, p. 45, O.J. Linforth, Manager, O & M Department, Shell-Mex and B.P. Ltd., says: "...There is much to be said for having a single department knowledgeable about the tools of management and their uses. Such a department is, we feel, more able to consider objectively problems of productivity, in its broadest sense, than a specialist group claiming that Work Study or O & M or any other expertise confers on its practitioners the sole right to discourse on method".

The head of the S.R.U. echoed a similar view when, in his review of Cemach's book, he wrote : "The field of improving office is tremendous and it has enough room for technicians working under different labels even concurrently provided there is division of labour and the necessary co-ordination of efforts". *I.J.P.A.*, Vol. V, No. 1, January-March, 1959, p. 119.

7. *I.J.P.A.*, Vol. IV, No. 2, April-June, 1958, pp. 199 & 201.

higher structure is meant partly for some high-grade original work and partly for span of control. Since the latter is more than half the part of the ingredients of supervision, it is necessary that the analysis of the superstructure of the organization should follow the evolution of the design of the basic primary unit, the quality of work and the volume of load that it has to carry." The learned administrators further add that "Work studies indicated that with rapidly expanding activities of Government, the complexion of functions now performed is so different that the setting up of the primary unit of work into pre-designed inflexible structures requires reconsideration".

Work study as a technique has been associated with the physiological theory of organisation. It was first developed by Frederick W. Taylor. Its two major elements are, as stated earlier, Method Study (work simplification) and Time Study (work measurement). By using the technique of Work Study it is possible to determine basic work steps and standards for the achievement of a task or group of tasks, to build up the primary work unit on their basis and to construct the entire organisational structure thereon. However, there are several elements other than work studies which go into the determination of the organisational "tree". There is the consideration whether the work is to be departmentalised by purpose, process, clientele, place or time. Hence, the factor of efficiency alone does not determine the way of grouping the work. There are social and political factors too. There are problems of authority, delegation and co-ordination which are vitally connected with the quality and behaviour of human element and Work Study alone offers no adequate solution. The problems relating to the structure of organisation have been historically dealt with not by 'physiological organisation theory', with which Work Study is associated, but by "administrative management theory" put forward by Luther Gulick, Fayol, J.D. Mooney, A.C. Reiley and L. Urwick. In governmental organisations, there is also the consideration of 'public interest' which implies, among others, provision of institutional checks and balances against loss of integrity and allowance for public convenience and 'association'. Both 'physiological organisation theory' and 'administrative management theory' view the human element as an inert instrument performing the tasks assigned to it under the compulsion of economic rewards and punishments; they totally ignore factors associated with individual behaviour particularly its motivational bases and its cognitive processes. A 'full-rounded' theory of organisation, which is still to be evolved, should obviously take into account all the three aspects of the individual worker—the instrumental, the motivational and the 'intendedly' rational. An

organisation, really, is a "complex pattern of communications and other relations in a group of human beings."⁸

The reader might well ask: is "organisation" under O & M viewed in this broader perspective in other countries? The answer is both 'yes' and 'no'. The term O & M in the U.K., as we have seen, is more or less equated with Work Study, though it covers also studies of the machinery of the Government on the lines of the administrative management theory rather than the physiological theory of organisation. In U.S.A. also it covers top organisational studies. The American approach to O & M is broader in that a wider use is made of outside management consultants and of university talent whenever a specialised assignment is to be undertaken. Further, some of the problems, which now fall within the behavioural and management science approaches to the theory of organisation, are being tackled under a different terminology, e.g., executive leadership, human relations, operation research, etc.

The exact scope of O & M, as a function, for any country must be determined in the light of its particular needs. In other words, be O & M in India must develop its own approach and its own perspective rather than borrow the perspectives of U.K. and U.S.A. Shri S.B. Bapat, the first Director of the central O & M Division, defined O & M not as a *technique* but as a *function* in the following words: "In simple terms it means paying intelligent and critical attention not only to *what* is done but also to *how* it is done and *at what cost* in time, labour and money; paying attention to the design of the machine and its working processes and not merely to its end-product."⁹

The problem of O & M in countries like India is different in many respects from the one in U.K. and U.S.A. She has to meet the challenges of development and socialism. She has also a vast potential of the unemployed and the under-employed—a factor to reckon with in considering the schemes of rationalisation through Work Study or other similar devices. Again, the problem of higher efficiency is as much a problem of improving organisational structures or work methods as also of *motivating* organisational behaviour in a society where the levels of education and rationality are lower than in the West. It is, therefore, necessary that O & M in India, both as a concept and a function, should be conceived in a broader and more comprehensive perspective which is necessitated by the economic, social and administrative context of the country and which also takes into account the recent advances in social sciences.

8. Herbert A. Simon, *Administrative Behavior*, New York, Macmillan, 1957, p xvi.
 9. *I.I.P.A.*, Vol. I, No. 1, January-March, 1955, p. 61.

O & M UNDER THE THIRD PLAN

The problems of expanding administration, increase in number of personnel,¹⁰ expenditure,¹¹ and red-tape¹² will grow more complex and larger in scale under the Third Plan. This will require a more sustained and intensive O & M effort.

But, perhaps, more important would be the question of implementation. It is well known that a good many projects and recommendations under the Second Plan have not been implemented due to certain known and unknown administrative deficiencies and lags. The dimensions and tempo of the Third Plan would require not generalisations, as are very often put forward, but specific O & M solutions on the basis of individual studies of major projects designed to find out the administrative deficiencies responsible for non-implementation or slow implementation. Here the work already done by the Committee on Plan Project may be of some help. But many more studies will perhaps be needed. As pointed out in a later section of this article, the study teams for projects may with advantage be composed of specialists drawn from various fields. O & M work in the field of projects implementation would call for attention not only to the structural and procedural aspects but also to those of motivation —an aspect which has been thrown up into relief by the conspicuous failure of programmes like community development in mobilising active public support.

10. According to the newspaper summary of the first report of the Economy Committee set up by the leader of the Congress Parliamentary Party at the last budget session of Parliament, the total number of regular employees of the Union Government (excluding the staff employed by the Railways and personnel working in the embassies and missions abroad) increased from 6.5 lakhs in 1955 to 7.1 lakhs in 1958. The staff of the Railways has also increased from 7,73,368 in 1948-49 to 11,11,026 in 1957-58. In addition, there is more or less a permanent non-regular establishment of 63,000 employees. [*The Hindustan Times*, August 10, 1959, p. 6.] According to the newspaper version of the Second Central Pay Commission Report, there are about 18 lakhs employees of the Central Government. Of these, there are about 10,000 officers in class I, 20,000 in class II, 5.5 lakhs in clerical and other class III services, and about 12 lakhs persons in class IV and contingency staff. During 1955-58, the number of administrative and executive posts rose by 20,000 and that of ministerial posts by 40,000. [*The Hindustan Times*, August 25, 1959, p. 5.]

11. Wages and salaries paid by administrative Ministries excluding the departmental commercial undertakings, but including defence, have risen from Rs. 169 crores in 1956-57 to Rs. 237 crores in 1959-60. Excluding the armed forces and the civilian personnel attached to the Defence Ministry, the wages and salaries of the administrative Ministries have, during the same period, increased from Rs. 75.4 crores to Rs. 107.7 crores, and the cost of staff in Railways has risen from Rs. 75.4 crores in 1948-49 to Rs. 173 crores in 1957-58. [*The Hindustan Times*, August 10, 1959, p. 8.] The latest figures, as given in the newspaper version of the Central Pay Commission Report, indicate that the total pay bill of the Central Government employees comes to about Rs. 408 crores annually. [*The Hindustan Times*, August 25, 1959, p. 12.]

12. According to the Report of the Economy Committee of the Congress Parliamentary Party, "the length of the red tape consumed by the Union Government has increased from 19,68,625 yards in 1957-58, to 55 lakhs yards in 1959-60. [*The Hindustan Times*, August 10, 1959, p. 6.]

An important O & M problem would be to discover new extra-governmental channels and agencies for undertaking increased governmental responsibilities both in scale and scope. There has been a lot of talk recently about bringing in voluntary organisations, public bodies and other agencies. However, the exact form and manner in which these may be usefully availed of remains a serious O & M problem for the Third Plan.

Again, a bold and widespread experiment is under way in regard to the setting up of popular bodies at the block level for undertaking development functions. The approach so far to this problem has been political and developmental; its O & M implications have hardly been given attention. These, as well as the question of integration of developmental administration at the block level with the 'regular' administration in the district, deserve serious attention from the point of view of organisation and methods. Again, the two basic institutions of the new pattern of society—the panchayat and the co-operative—pose several O & M problems, e.g., the optimum size, co-ordination, integration, etc.

O & M problem in the public sector under the Third Plan would require more specific treatment. The comparative usefulness of various forms of organisations of public enterprises—departmental management, the government company, the statutory corporation, the autonomous boards, etc.—is still to be determined. The question of internal autonomy of public enterprises would require study and research in regard to the nature and form of decentralisation of financial and administrative powers with due regard to the stage of development of the enterprise and the nature of product and its manufacturing process. Methods of operating the enterprises will need no less attention, particularly in matters of determination of standard of performance and costs by the application of scientific techniques and here the experience gained in the private industry would be more relevant than the experience of Government departments.

Most of the O & M problems, which the Third Plan will throw up, will not be solved unless adequate O & M research and studies are undertaken in advance—a conclusion which is amply justified by past experience. Problems in "regular" administration—it must also expand with increase in developmental administration—which call for immediate research are : division of functions between various Ministries, span of control, the optimum size of an efficient working unit, the staffing patterns most suited to different types of governmental activities, the building of hierarchical structures conducive to high efficiency and morale and personnel development, decentralisation and deconcentration, reorganisation of the service structures to provide for

specialists and technical talents, the relationship between structures, work standards and 'attitudes', the simplification and improvement of forms control, the tendency of the administration to proliferate, the evolution of new forms and methods to make administration more responsive to public needs, the relative merits of administration by a single administrator *versus* administration by a collegiate body, the strengthening of "staff" aids and their relationship with "line" and horizontal and vertical co-ordination within the department and with outside government departments and agencies.

Last but not the least, the solution of any O & M problem should not be confined only to rationalisation of procedures and structures; the new structural and procedural arrangement must also cater to two additional essential requirements—those of public convenience and participation and internal checks and balances against loss of integrity. The latter two considerations are as vital to the successful implementation of plan projects as are factors of efficiency and economy.

INTEGRATION OF O & M EFFORTS

In order to enable O & M to meet the problems under the Second and the Third Plans and also fulfil its normal role, it is essential that the present O & M efforts, which are dispersed among several governmental agencies, are integrated and directed and guided by one top organisation. There is also need for better co-ordination of O & M work at present being undertaken by different central Ministries and Departments, as also co-ordination between the Central and State Governments, between Government and the public sector, and between the public sector and the private sector. At present there is little pooling of technical knowledge; it would obviously be profitable to set up some form of consultative body to advise the central O & M organisation. Bodies like the National Productivity Council, Indian Institute of Public Administration, universities and institutes giving courses on industrial engineering and management and associations of management should find a place on this body.

Even more important is the need for research in O & M. Some of the limitations of the existing O & M programme at the Centre arise from lack of research on O & M techniques. While the O & M Division has tried to keep itself seized of new problems arising in the Central Secretariat, it has paid little attention to the problems in the field and to the problems of overall organisational patterns. This has partly been due, perhaps, to lack of inadequate appreciation of the utility of modern tools of analysis and partly due to the nature of present staffing pattern of the Division—a problem which is discussed in a later section. Research in O & M postulates, first of all,

collection of up-to-date information about, and training in, tools of administrative analysis which have been developed in advanced countries like the U.S.A. It further requires the application of these tools, on a selective basis, to resolve problems of organisation and methods. The Special Re-organisation Unit has by now gained some experience in the application of tools of analysis for purposes of Work Study; but it, too, has not devoted much attention to research independent of day-to-day work. Nor is its experience publicly available. A well planned research programme by the O & M unit will be necessary to meet the administrative exigencies of the Third Plan.

Most important of all is the requirement of re-fixing at the top-most level an overall responsibility for policy formulation and determination of the form and scope of O & M activity to be undertaken throughout the entire governmental machinery. The form and content of O & M activity would obviously have to provide for dynamic growth and development both within each administrative agency and administration as a whole, but there must be an overall determination of the directions and the lines on which it is to proceed.

There has been recently some controversy about the respective roles of the central O & M Division and the Special Re-organisation Unit. However, as explained earlier, the work of the S.R.U. may well be regarded as only one of the facets of O & M work which is being performed through a specialised agency, *i.e.*, the S.R.U. Management improvement is a multifaced programme, and all the elements comprising it have to be used in a co-ordinated manner. These cannot be dissociated and dispersed over several independent authorities. The integration of O & M effort, both in terms of perspective and organisation, in the context of the present relations between the S.R.U. and the central O & M Division, calls for the creation of a new "Directorate of Work, Organisation and Methods". If the term, however, is deemed to be too cumbersome, it may, after the American pattern, be called the new "Directorate of Administrative Management Improvement"—a comprehensive term covering all the varied techniques of improving administration.¹³ Among the functions of such a Directorate the important ones may be as follows:

- (1). Overall responsibility for policy formulation and direction of the nature and content of O & M activity undertaken by the central O & M Directorate as also by the O & M and Work Study cells in individual Ministries;
- (2) Co-ordination of O & M work of the different Ministries, departments and offices of the Central Government;

13. A similar suggestion has been put forward by Cemach. See *O & M Bulletin*, December 1959, p. 87.

- (3) Organisation of a consultative (advisory) and operating service to assist Ministries and Departments which cannot afford to set up their own O & M unit and such other agencies as request for advice and help;
- (4) To act as a clearing house of information regarding O & M work done by the Central Government, the State Governments, the local bodies, and in foreign countries;
- (5) Organisation of training programmes for O & M personnel—in central Ministries, States, local bodies, universities, public enterprises and other public organisations; and
- (6) Publication of research materials, guides, manuals, bulletins and periodicals and other literature on both the theory and practice of O & M in India and abroad.

The Estimates Committee has observed that there is not "adequate justification for maintaining the two organisations (the O & M Division and the S.R.U.) as distinct units under two different Departments" and recommended that "the S.R.U. and O & M Organisation—*i.e.*, the O & M Division and the various O & M Units—be combined into a single organisation with a unified control under the Ministry of Finance as to enable the combined organisations to effect speedily economy consistent with efficiency."¹⁴ The argument generally advanced in support of the separation of the two units is that their purposes are different: while the S.R.U. aims at economy, the O & M Division's goal is efficiency. The S.R.U. is located in the Economy Division of the Finance Ministry and its chief is Joint Secretary (Economy). This Unit works under the supervision of the Central Economy Board. The Board consists of the Cabinet Secretary (who is its Chairman), Home Secretary, Finance Secretary (Expenditure) and the Director, O & M Division. Its function is to co-ordinate the work of the Economy Committees in individual Ministries and also to guide and direct the work of the Special Re-organisation Unit. The O & M Division has the responsibility of obtaining and placing before the Cabinet the reports of the work done in this context by the Economy Board and the various Economy Committees.

The two major contemporary issues in regard to the re-organisation of O & M machinery thus are: integration of, or co-ordination between the work of the central O & M Division and the S.R.U., and the fixation of the overall responsibility for direction and leadership. The central O & M Division, as initially set up was to be responsible for providing "leadership and drive"¹⁵—a responsibility which in

14. Estimates Committee, 1958-59 (Second Lok Sabha), 55th Report, *op. cit.*, p.16.

15. *First Annual Report, O & M Division, Cabinet Secretariat.* p. 1.

actual practice no longer seems to belong to it. The amalgamation of the S.R.U. and the O & M Division, as suggested by the Estimates Committee, appears to present certain organisational problems, as the Division is located in the Cabinet Secretariat and the Unit in the Ministry of Finance. At the time of the setting up of the Central O & M Division, the question of its location presented a serious difficulty.¹⁶

Considering that the chief consideration for integrating¹⁷ O & M effort is to give it an overall, all-comprehensive and dynamic perspective, it appears that the topmost O & M organisation should continue to be located in the Cabinet Secretariat. However, in order to

16. We have it on the authority of the first Director of O & M Division himself that the establishment of the O & M unit was "delayed for a considerable time by a dispute among some of the Ministries". At that time the Finance and Home Ministries made strong bids for fathering the new babe. The Finance Ministry pointed to the examples of the U.K. and the U.S.A. where the O & M units are located in the agencies of financial control, namely the Treasury and the Bureau of the Budget respectively. The Finance Ministry's stand was further strengthened by Appleby's recommendation "that the general strength and scope of the Ministry of Finance would rather point to locating the O & M office in it. [Paul H. Appleby, Public Administration in India—Report of a Survey, O & M Division, Cabinet Secretariat, 1958, p. 59.]

In reply, the Home Ministry pointed out that the British Treasury was more than a mere Finance Ministry and the same could be said of the American Bureau of the Budget. The Home Ministry, which is in general responsible for personnel work and for prescribing procedures for government work, argued that the O & M work naturally fell within its scope. The Home Ministry's case was strengthened by the following recommendation of Shri N. Gopalaswamy Ayyangar. "It is not possible to separate questions relating to organisation of establishments from those relating to organisation of services. It is not possible to dissociate questions relating to organisation of the services at the Centre from those relating to all-India services. Hence my conclusion that responsibility (for O & M) should be located in the home (services) departments of the ministry of Home Affairs". (Vide: Report, *op. cit.* p. 36.)

Eventually, it was decided to locate the O & M Division in the Cabinet Secretariat directly under the Prime Minister himself. It was a wise decision in that as the support and encouragement from the highest levels give considerable impetus to the building up of O & M service, and the Cabinet Secretariat is better placed than any individual Ministry to secure co-operation and compliance from all Ministries/Departments. Moreover, in the interest of smooth working of the organisation, it should not be too closely associated with any single Ministry.

17. The O & M effort in the U.S.A. is dispersed due to the largeness of the departmental organisation and its manning mostly by specialists rather than generalist administrators. Overall leadership to a limited extent is provided by the Administrative Management Division of the Bureau of Budget which advises the President on the overall organisational problems. But the nature and content of the O & M programme is mostly determined by the department itself, of course, within the general framework of the services organisation which is supervised by the U.S. Civil Service Commission.

The Central O & M organisation in the U.K. is located in the Treasury; it provides central leadership and direction, trains personnel and even provides O & M services for the department and offices which do not have O & M cells of their own.

In Canada, the central O & M organisation, called the Organisation and Methods Service, is located in the Civil Service Commission and has a fulltime staff under a full-time chief. The purpose of the Service is to provide specialised advice and assistance to departments in the analysis or organisation, systems, procedures and work methods. The Organisation has an Informal Advisory Service Office Machinery and Equipment Service, Research and Informative Service, and an Electronic unit.

clarify its relationship with the S.R.U. and other organisations doing O & M work and to define its functions in clear and precise terms, the central O & M Division may be abolished and replaced by a new "Directorate of Work, Organisation and Methods" (or "Directorate of Administrative Management Improvement") as suggested earlier. The creation of a new directorate will solve the present stalemate in shouldering the responsibility for overall direction and leadership.

PROBLEMS OF STAFFING AND TRAINING

Staffing

Both the central O & M Division and the S.R.U., are, at present, manned by personnel drawn from the Civil Service—the central O & M Division by personnel of the Central Secretariat Service and the S.R.U. by personnel mostly of the Central field services, e.g., Indian Revenue Service, Indian Audit and Accounts Service. The S.R.U. has appointed one or two administrative analysts and has also obtained the services of a T.C.M. consultant on administrative management improvement for a short period. The techniques of Work Study, as applied by the S.R.U. to Government organisations in India, have been developed by the service officers mainly through their own study and efforts—which is indeed an achievement in itself. However, it is very likely that this achievement would have been far greater had the Unit drawn upon the services of those qualified in industrial engineering which is another name for the applied science of Work Study. The same observation more or less applies to the central O & M Division.

Another allied lacuna in the staffing pattern of both these organisations has been the singular absence of any personnel for research. Both of them have tried to copy the British pattern of staffing. In Great Britain, staff for a departmental O & M Branch are normally found from within by transfer from ordinary departmental work. The central O & M Division draws its staff mainly from other Departments but partly from within the Treasury itself. An O & M officer usually spends five years on the work, after which he returns to his parent department, the only exception being in the case of machinists. This policy of moving staff in and out, although it involves a sacrifice of skill and knowledge within the O & M unit, is believed to have definite advantages like the infusion of new blood to prevent the O & M staff becoming stale and strengthening the department by scattering within them a growing number of men with O & M experience.

In Sweden, however, the O & M personnel is drawn from a wider background; they are economists or graduates from institutes of technology, or suitable civil servants or military officers. The U.S.A., like Sweden, follows a variegated recruitment policy. It draws its staff, on a permanent basis, from various services, namely, graduates with a background of public or business administration, economics, political science, or engineering; and those previously engaged in O & M programmes in business and industry universities and civil servants. The Organisation and Methods Service in Canada, at the commencement of its career in 1951, tried the unique experiment of recruiting its O & M personnel by means of a competitive examination. The experiment proved a failure and she adopted more or less the pattern of staffing of the U.S.A.

The responsibilities of O & M, under the Second Plan and those which will devolve on it under the Third, necessitate a staffing pattern wherein specialist personnel are drawn from several fields such as industrial engineering, administrative experience within Government, psychology and sociology, civil and mechanical engineering and army organisation. Such a multi-dimensional staffing pattern is a necessary corollary to O & M function viewed comprehensively and dynamically, i.e., to meet the demands of development and democracy in the framework of Indian society.

The central O & M Division was originally conceived as a collective and co-operative enterprise in which the main effort would come from within each operating agency and the task of the central O & M Division would be to supply the leadership and drive; it has not therefore employed an elaborate staff of its own, and it functions primarily through the cells set up in each Ministry and department. At present there are 65 such cells functioning in different Ministries, departments and offices. These cells are under the charge of an officer, generally of the grade of Deputy Secretary, designated as 'O & M Officer'. The O & M cells in the Attached and Subordinate Offices are generally under the officer in charge of administration and establishment work. The Director of the O & M Division is also part-time; so is the head of the S.R.U. But O & M, conceived in its broader perspective, needs the services of full-time personnel who can devote themselves to it without being disturbed by other demands on their attention.

Training

As regards training, the S.R.U. has organised an in-service training programme for its personnel as well as for selected trainees from

central Departments and Ministries. A representative from a university has also been admitted to it. The central O & M Division does not have any organised programme of training; training is imparted on the job, *i.e.*, by actually doing it. Advantage is presently being taken by the Division of the fellowship programme of the Indian Institute of Public Administration to depute one of its senior officers to U.K. and U.S.A. for advanced study and observation.

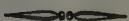
The problem of training in tools of management is obviously related to the development of the use of tools and the pattern of staffing; the former depends, in turn, on research. What appears to be at the moment feasible and desirable is a basic training course in the theory of organisation and management, a good theoretical and practical instruction in Work Study as applied both in Government and private industry, a familiarisation with modern tools of research of social sciences and a comprehensive grounding in administrative organisations and procedures as developed in India.

THE NEED FOR A NEW PERSPECTIVE

In brief, what O & M badly needs today is a new perspective which is *overall, all-comprehensive, dynamic and research-oriented*. It must be "overall" in that the final responsibility for O & M leadership and direction as well as for programming should clearly be at the highest level within Government, *i.e.*, with the Cabinet. It must be overall in another sense that O & M problems in the programme of work which is formulated should be viewed as *a whole*. The programme should be *all-comprehensive* in terms of problems, techniques, and approach, of course, on a phased basis; it would be fatal to confine attention to only one aspect or technique (*e.g.*, Work Study). Such a comprehensive and broader role of the O & M was also envisaged by Dean Appleby in his first report.¹⁸ Again, O & M problems, O & M techniques and solutions should be viewed *dynamically*—in the context of a developing economy, expanding government and changing society. Finally O & M in India must develop its own research so that administrative methods and organisation can be continually adapted to the new demands with the minimum time-lag.

18. "I recommend that the Government of India give consideration to the establishment of a central office charged with responsibility for giving both extensive and intensive leadership in respect to structures, management and procedures. At one level of highly technical and specific sort, it would give attention to work measurement, work flow, office management, filing systems, space arrangements and the like ; at another level it would be charged with general governmental structural studies and proposals. I should hope that at this level also it would have a charter of responsibility for the enhancement of democratic manner and method within the bureaucracy and between the bureaucracy and the public". (Vide : Paul H. Appleby, *Public Administration in India—Report of a Survey*. O & M Division, Cabinet Secretariat, 1958, p. 59).

The new perspective for O & M can be developed only if the urgency of its need is realised at the highest level in Government. The Central Cabinet would do well to set up an Administrative Organisation Committee,¹⁹ and to formulate a bold and comprehensive administrative management improvement programme for the Third Plan. A review of the five years' work is at present under way in the central O & M Division, but it is doubtful if the Division and the S.R.U. are giving *full* consideration to the implications of the Third Plan for O & M. Effective implementation of a small plan is perhaps more conducive to public good than indifferent implementation of a big plan. "There is little point in debating the ends or functions of the State, if we have no confidence that once resolved, these ends cannot or will not be effectively administered."²⁰



19. A recommendation to this effect was also made by Gopalaswamy Ayyangar in 1947. An *ad hoc* Cabinet Committee on Administrative Reorganisation was appointed in 1953 to examine the recommendations made in the first Appleby Report.

20. J.D. Millet, *Management in the Public Service*, New York, McGraw-Hill Book Company Inc., 1954, p. viii.

CORRESPONDENCE

"OF MATTERS ADMINISTRATIVE"

The Editor,
I.J.P.A.

Sir,

Shri S. Lall's review of *Shri A.D. Gorwala's* book "Of Matters Administrative" in your issue for April-June, 1959, calls for some comments. The review gives a rather distorted idea of the book. *Shri Lall's* summing up, stated in more or less his own words, is that *Shri Gorwala* has adopted the style and manner of a politician and has taken up the cudgels on behalf of the civil servant as against the politician. In actual fact, if *Shri Gorwala* may be said to take up cudgels on any one's behalf at all, it would be truer to say that it is on behalf of the average citizen for whom good and sound administration makes life so much more bearable and happy. The articles included in this collection deal with a variety of matters relating to Government's action and the underlying policy in regard to such action. All these topics have been dealt with objectively and while there is plenty of criticism, it is never merely destructive; constructive suggestions are invariably made, and it is these which make this compilation truly valuable. As for the style and the manner, while the manner may usually be disconcertingly frank, the style is always eloquent without a trace of declamation, accurate without a trace of exaggeration, and hard-hitting without a trace of malice or vituperation. There is nothing of the politician about his style; *Shri Gorwala* writes well and with vigour.

The series of articles included in this collection cover a wide range of

topics and each of them seeks to emphasise a specific point of administrative importance, what it would have been well to have avoided, or what ought to have been done, etc. This is not to say that one accepts all that *Shri Gorwala* has to say; indeed, there is not a little that is controversial. But he is always stimulating and thought-provoking.

Thus the very first article entitled "Enlightened Ruthlessness" begins with a definition of the expression 'Enlightened Ruthlessness' which is described as "that power within a man in authority, which enables him to take decisions solely on grounds of the public good or the good of any cause he may have at heart, whatever the strain on his own emotions or loyalty, the effect of such decisions on particular individuals, the closeness of the ties between him and the individuals or the strength of the influence they are able to bring to bear upon him." The article then proceeds to show that "The scope of enlightened ruthlessness is not confined merely to appointment and dismissal. It should operate at every stage of administrative existence. The Minister or Secretary, who sees some deterioration in the work of his subordinates, but even after consideration, will not point it out in order to avoid embarrassment and inconvenience to himself, is a curse to the public service. So, too, is the Minister who in Cabinet feels his colleagues are taking, of their own accord or under the impress of some strong personality, a wrong decision, but has not enlightenment enough to speak out ruthlessly." It is evident that what *Shri Gorwala* seeks from

the practice of enlightened ruthlessness is something which every democrat should require of the minister and the senior civil servants and that it does not imply, as Shri Lall seems to do, an indifference to public opinion.

Then take the second article on "The Autonomy of State Enterprises." It begins thus: "There are few better tests of political maturity for a Government than the capacity to delegate. This involves not only willingness to part with a portion of power and ability to select the right people to trust with it, but also a continuing willingness to let the people to whom it is entrusted exercise it without interference." Taking at random a later article in the book on the subject of "Delay in Publishing Committee Reports", this is what Shri Gorwala has to say: "A very important principle is at stake in cases of this nature. Democracy functions by action and interaction between the Government and the people. The people cannot take their proper part in this relationship unless they are kept informed. When Government withholds information from them, it in effect prevents public opinion from being formed and consequently, from making itself felt. It breaks the due relationship, so to speak, between the parties and produces the impression that it wishes to arrogate to itself the information available with regard to a particular subject so as to prevent the mind of the people from examining it, appreciating it and coming to its own conclusions."

In an article entitled 'Sound Basic Administration' he points to the lesson of history which is "that ultimately it is the failure of administration in its basic tasks that often brings revolution. It is when the citizen feels the grievance of injustice strongly, as inefficiency affects him more and more in his ordinary life,

that he holds any change must be for the better and pays heed to any leadership, however, undesirable."

Again in an article dealing with 'Local Self-Government' Shri Gorwala has something very penetrating and worthwhile to say: 'Sympathetic foreigners...often have one serious complaint. They find Indians by and large not at all interested in local government. Since to them, local self-government, the proper management of the area which they inhabit, village, rural district, or urban borough, is a matter of the greatest importance, they find this astonishing. The foundation of democracy, as well as its best training ground is in their view the governing body. How then can men really anxious for the democratic management of public affairs afford to neglect this sphere as completely as they find it neglected in India?"

We may go on quoting thus from article after article to show how this book abounds in words of wisdom for the student of administration. The articles deal with surprising variety of subjects, all, however, studied from the point of view of some administrative failure or achievement. Not one of them is directed against the politician as such; they are indeed directed against no one. Rightly interpreted, they are an effort in educating the Government as well as the governed in the country through frank and objective criticism of actual policies, how vitally important it is that execution of such policies should be efficient and sound. There is nothing merely polemical in it. It is indeed a book which students of administration, and Indian administration, in particular, will do well to read and ponder over.

Yours faithfully,
Vallabh Vidyanagar, H. M. Patel
August 13, 1959.

* * *

Sir,

I am thankful to *Shri H.M. Patel* for pointing out that I have not been able to interpret correctly the point of view expounded by *Shri Gorwala* in his book "Of Matters Administrative".

In dealing with such a large variety of administrative and allied subjects, there is the risk of not seeing the wood for the trees. Error in interpretation is possible. But I did state that *Shri Gorwala* "can claim to speak with authority", that "his views are entitled to be treated with respect" and that the articles contain "much legitimate criticism". While I have pointed out that there is an explanation for much that is happening in administration which should be taken into account, I have also emphasised that "this does not mean that what is happening is correct". If I have given the impression that *Shri Gorwala's* articles are not valuable or relevant to present-day conditions, I should like to correct this at once by stating that the general public, the politician and the civil servant can derive much benefit from what he says and that much of what he says is both important and relevant.

But I do not of course agree with everything that is said; in some cases while I agree generally with what is said, I am not happy about the way in which it is said. I have felt that the approach might have been somewhat different. In some cases the criticisms also appear to me to be rather one-sided and not entirely fair. This, in my opinion, is a pity because it might tend to weaken the force of the legitimate criticism. I could give quotations and reasons to support my views, but this would hardly serve any useful purpose. As *Shri H.M. Patel* recognises, "there is not a little that

is controversial". We are all anxious that the country should have a sound, honest and efficient administration. This objective must not be allowed to get blurred in futile controversy.

The great constitutional change that has taken place in India calls for some difference of outlook and some shift of emphasis in the consideration of administrative matters. For instance, "enlightened ruthlessness", as quoted by *Shri Patel*, is described as "that power within a man in authority, which enables him to take decisions solely on grounds of the public good or the good of any cause that he may have at heart, whatever the strain on his own emotions or loyalty, the effect of such decisions on particular individuals, the closeness of the ties between him and the individuals or the strength of the influence they are able to bring to bear upon him". Obviously all this is very sound. But "the man in authority" cannot exercise that power without regard to the source of his authority. Further, he may consider his ruthlessness to be enlightened when many would call it improper. In a democracy the people can hardly be expected to give *carte blanche* to the "man in authority". Therefore something more vital is necessary.

The "man in authority" making a decision must also take positive steps to see that the public accepts that decision as in its own best interest. And what is the public interest in a democracy? Surely, it is not what an individual, however enlightened, regards as such, but what the public accepts as such *after a full statement and explanation of the relevant facts*. The words in italics are important as it is the duty of the Minister and the civil servant in a democracy to see that what is considered to be in the public interest

does not go by default. This is the most difficult and indispensable task of the "man in authority", requiring not only knowledge and experience but also tact, patience and courage. If he fails in this, his other excellent qualifications will be of no avail. While therefore I agree that the "man in authority" should act with complete honesty and with firmness, he should also exercise tact and discretion. "Ruthlessness" without tact and discretion might be a dangerous boomerang unless it is a prelude to resignation for which there might be good justification, but it is a step that is taken in the last extremity.

The importance of public acceptance in the democratic set-up of India today needs to be specially emphasised. In being firm the "man in authority" must also be particularly careful not to irritate the public which has its own built-up psychological attitudes towards various matters that may not be altogether rational. It is sound policy to study the public, to understand it and to do all that is possible to help it to become a good master. History has many examples of a democratic people being veered round from the wrong to the right path. But this is not likely to be achieved by irritation.

The Minister being the duly constituted representative of the people is the one in authority. The civil servant must serve him with the fullest loyalty. But this does not mean that he should become a 'Yes-man'. Not at all. The Minister holds office in trust for the people. The civil servant's loyalty to the people transcends his loyalty to the Minister. In view of his number, and experience, he constitutes an important section of the people. Nevertheless, loyalty to the Minister, so far as the civil servant is concerned, is supreme. All that he

could and should do is to make clear to his Minister in an objective and discreet manner what he considers to be right or wrong in the public interest. Failure to do this should be regarded as dereliction of duty. The Minister, of course, is entitled to act independently or contrary to the advice of the civil servant. The civil servant is then bound to carry out loyally the orders of his Minister.

Now I fully appreciate the fact that a civil servant is naturally afraid to be frank when he feels that this would not be welcome to the Minister. It is alleged that frankness would be prejudicial to his future and that in any case the Minister's decision has to be carried out. But what is the remedy? Surely not that the civil servant should keep quiet and do what is expected or that he should move the public against his Minister. The latter would be as bad as the Minister blaming the civil servant in public when anything goes wrong. The real remedy is for the civil service to develop its own code of honour, which should not merely mean the protection of its rights and privileges, but also its determination to discharge its duties and responsibilities without fear of illegitimate consequences. The code of honour must aim primarily at maintaining a high level of discipline, integrity and efficiency. Further, the civil service must develop an *esprit de corps* both to safeguard its members against victimisation and to pull up its backsliding members. In proclaiming and defending this code of honour, it should be made clear that the public interest is the most important consideration. Collectively, the civil service should seek to enlist the approval and support of the Cabinet to its code of honour. There may be difficulties in regard to recognition or the details of the code of honour, but I do not imagine that they cannot be overcome. Unless

there is a proper understanding between the Minister and the civil servant, the latter will become negative, as the Home Minister has recently complained, and the former will become ineffective, as the public will sooner or later find out. It should therefore be possible to arrive at some satisfactory arrangement whereby the Minister and the civil servant can work in harmony and effectively.

Failures in administration, such as corruption, delays in correspondence and publication of reports, withholding important information from the public, lack of interest and action in matters of basic administration etc., have been the subject of frequent comments in public and the press. Yet they continue without abatement. The public suffers no doubt, but it lacks maturity and needs guidance. It seems therefore that the concentration of effort should be on the adjustment of the machinery of administration with a view to creating a better understanding between the civil servant, the Minister

and the people. This tripartite co-operation is, in my view, of basic importance. Without it no substantial improvement can be expected. In achieving the desired result, the civil servant, collectively but not individually, can play a highly important part. Such collective action to maintain administrative standards is being taken by the civil services of some progressive countries and by the international civil service. In India it is most needed because the falling off is so marked. If the civil service in India fails to make this collective effort, the civil servant must share the blame with the Minister for the deterioration in administration. Because of his number, experience, training and security of tenure, his failure will be less excusable and he will have himself to thank if the public is more critical of him than of the Minister.

Yours truly,
S. Lall

New Delhi,
September 14, 1959.

(I) RECENT TRENDS IN PUBLIC ADMINISTRATION IN INDIA

The current emphasis on need for economy in matters of recruitment in recent months has been endorsed by the Economy Committee of the Congress Parliamentary Party in its recent report. The Committee finds that the total number of regular employees of the Union Government increased from 6.5 lakhs in 1955 to 7.1 lakhs in 1958, excluding the staff in the railways and embassies and missions abroad; the number of administrative and executive posts in the period rose by 20,000, and of ministerial posts by 40,000. The wages and salaries paid by Government administrative departments, excluding the departmental commercial undertakings but including defence, rose from Rs. 169 crores in 1956-57 to Rs. 237 crores in 1959-60. The Committee has recommended that as a part of an all-out effort to control the mounting expenditure on staff all recruitment to the "administrative and executive", "ministerial", "skilled", and "unskilled" categories be stopped forthwith for one year, and that, with the exception of technical personnel, all posts lying vacant and not filled for six months and more should be abolished. Steps should be taken to create a central pool of employees. Ministries should scrutinize closely their staff position and staff found surplus should be put in the central pool to be deployed where needed. Further, no extension should be given to staff beyond the age of superannuation except in very special circumstances.

Parliament has passed the Employment Exchanges (Compulsory Notification of Vacancies) Bill providing for the compulsory

notification of all vacancies, other than those of the unskilled categories, to employment exchanges by the managements of both public and private sectors.

* * *

In the field of training, a notable recent development has been the establishment of the National Academy of Administration at Mussoorie by the merger of the I.A.S. Training School, Delhi, and the I.A.S. Staff College, Simla, from September 1. *Shri A.N. Jha*, I.C.S., till recently Vice-Chancellor, Sanskrit University, Varanasi; and formerly Chief Secretary to the Government of U.P., has been appointed the Principal of the Academy. A combined foundational course of 4 months' duration has been instituted for probationers of the All India and Class I Central (non-technical) Services, (Postal, Income-tax, Audit and Accounts, Customs, Excise, Defence and Accounts. The foundational course is designed to develop among recruits to different services a feeling of belonging to a common public service, and a broadly common outlook. At the completion of the course the probationers of the services other than the I.A.S. will proceed to their respective training centres for institutional training; the I.A.S. probationers will, however, receive further training at the Academy.

The Government of India has revised the syllabus of institutional training of the Indian Police Service probationers to place more emphasis on syndicate work and group discussions and to include instruction in subjects like crime and *modus operandi*; criminals, criminal gangs

and criminal psychology; police and public administration, etc. A new feature will be practical training in dispersing crowds, regulating traffic, combating corruption, fire service, emergency relief, civil defence, probation, and aftercare of discharged prisoners.

In Assam, the State Government has introduced a revised scheme of in-service training for officers of the I.A.S. allotted to the State and the probationers of the Assam Civil Service. An I.A.S. probationer would, on initial appointment, be attached to the Headquarters of a district as an Assistant Commissioner and given practical training in a whole range of subjects, such as revenue, magisterial work, development, excise, etc. In the case of the A.C.S. probationers more emphasis would be given to training on the job than to the utilisation of their services during the period of probation. Talks and discussions would also be arranged to give them background knowledge about district administration, criminal law and procedure, office management, financial proprieties, public relations, code of conduct, etc. It is proposed to organise a State Training School to impart institutional training to the A.C.S. officers.

The Andhra Pradesh Government has decided to organise short refresher courses for all Civil Constables on the promotion list and for 60% of the existing Civil Head Constables.

The Special Re-organisation Unit of the Union Ministry of Finance, commenced the second session of its course in work study on August 7. It is being attended by 15 senior officers drawn from the Central Government (including the Directorate-General of Civil Aviation, Post and Telegraphs Department, All India Radio), the Hindustan Steel Ltd. and a university.

* * *

The Government of India has framed rules regarding the grant of financial assistance to Government employees in legal proceedings against them. If any proceedings, civil or criminal, instituted against him by the State in respect of matters arising out of or connected with his official duties or position, conclude in his favour and Government is satisfied that the employee was "subjected to the strain of the proceedings without proper justification", it will consider whether the whole or "any reasonable proportion" of the expenses should be reimbursed to him. Where the proceedings are instituted by a private party, the Government may consider if it could itself defend the employee. If the Government servant himself conducts his defence the question of reimbursement will be considered only when the proceedings conclude in his favour and in determining the amount of compensation, the Government will consider how far the court has vindicated the Government servant.

In Andhra Pradesh, the State Government has directed that Government servants seeking redress of their grievances arising out of their employment or conditions of service should, in their own interest and also in consistency with official propriety and discipline, first exhaust the normal official channels of redress before they take the issue to a court of law.

With a view to avoiding the dislocation of office work arising from the attendance of various official functions by senior officers during duty hours, the Government of Assam has issued instructions that the officers should attend such functions only if they are conveniently timed *i.e.*, held either before 9.30 A.M. or after 4.30 P.M.

In Madhya Pradesh, the posting of senior civil and police officers,

at divisional and district levels, to their home districts has been prohibited. This rule will, however, not apply to postings in the Secretariat offices of heads of departments, teachers in educational institutions, Government servants of class III (ministerial), class III (executive) services recruited on a district basis and class IV services.

The *Punjab* Government has amended the Government Servants' Conduct Rules to ban strikes by Government servants and to disallow membership of any association of Government employees which is not approved or recognised by the State Government.

* * *

The trend towards the liberalisation and improvement in terms and conditions of service and pay scales, consistent with the need for economy and efficiency, continues. The Second Central Pay Commission submitted its report to the Government of India on August 24. The Commission's terms of reference were wide and included conditions of service. It is understood that the Commission's report deals with a variety of important problems concerning the public services.

In *Bombay*, a seven-member committee has been appointed to make recommendations regarding pay-scales, service conditions, hours of work, etc., of full-time as well as part-time teachers working in technical and industrial institutions in the State. The State Assembly has sanctioned a "consolidated allowance" of Rs. 100 p.m. for members of the State Legislature in addition to their monthly salary.

In *U.P.*, the State Government has sanctioned, retrospective from March 1, 1959, an additional dearness allowance of Rs. 2.50 p.m. for the whole-time employees of local

bodies with monthly emoluments below Rs. 97.50, and of Rs. 5 p.m. for employees with monthly emoluments between Rs. 100 and 200. The State Government has also decided to allow the State Government servants to keep their provident fund savings with the Government for a period of three years after retirement.

* * *

The Informal Consultative Committee of Parliament, attached to the Ministry of Community Development, has decided to have four functional sub-committees which would devote special attention to (1) panchayats and democratic decentralisation, (2) co-operation, (3) study and training, and (4) community development.

A nine-man Study Team has been established with *Shri S.D. Mishra*, Parliamentary Secretary to the Minister for Community Development and Co-operation, as leader, to study the working, achievements and drawbacks of 26 pilot projects for industries set up by the Union Ministry of Community Development and Co-operation in conjunction with the Ministry of Commerce and Industry in different States and Union Territories.

An Expert Committee has been set up by the Government of India to examine the question of increased credit required for expanded programme of co-operative development.

The Government of *Bihar* has created 16 posts of District Development Officers, in the scale of Rs. 800-35-1150, one for each district, to assist the District Officer and to relieve him appropriately in respect of work relating to community development and national extension service.

An advisory council for urban community development has been set up in *Delhi* with the Mayor, *Shri Trilok Chand Sharma*, as Chairman and 18 members including councillors, M.P.s. and representative of the various local social organisations.

* * *

The Planning Commission has constituted an eight-member Panel on Agriculture under the chairmanship of *Shri Shriman Narayan*, Member, Planning Commission, to advise the Commission in the formulation of agricultural programme under the third Five-Year Plan.

The University Grants Commission has suggested to universities the setting up of a planning unit in each university to prepare a detailed third Five-Year Plan for the development of the university.

In *Madras*, orders have been passed for the constitution of an All-Party Committee consisting of members drawn from both the Houses of the State Legislature to advise the Government on matters relating to the preparation of the State's third Five-Year Plan.

* * *

The *U.P.* Government has set up two working groups—on Technical Education and Village and Small-Scale Industries—both under the chairmanship of *Shri S.S.L. Kakkar*, Secretary of the Industries Department. The first group will assess the requirements of technical personnel in the State during the third Plan period and formulate proposals for the development of technical education, including craftsmen training. The second group will deal with long-term planning in the field of village and small-scale industries, and in particular,

determine priorities and finalise draft preliminary project reports for inclusion in the third Plan.

* * *

Among the important committees, councils or boards which have been set up or are in the process of formation are : *Centre*—a five-man committee for the evaluation of the working of the multi-purpose special blocks, a six-member advisory committee to advise on financial assistance to educational institutions of all-India importance engaged in educational research and allied activities, a national council for women's education and an inter-ministerial agricultural co-ordination board; *States*—a committee on the reform of examination system in *Andhra Pradesh*, a city co-ordination council in *Bombay*, and a working group to study the problem of school and collegiate education in *Delhi*.

The Public Works Divisions and Sub-Divisions have been re-organised in *Mysore* to secure more effective and prompt execution of plan and non-plan works and improvement of all-round efficiency.

The Government of *West Bengal* has abolished the Department of Agriculture, Animal Husbandry and Forests and created in its place three new Departments—the Department of Agriculture and Food Production; the Department of Animal Husbandry and Veterinary Services; and the Department of Forests.

In pursuance of the recommendation of the State Economy Committee, the *Andhra Pradesh* Government has sanctioned the appointment of Financial Advisers to Secretariat Departments having the status of Deputy Secretaries, with the object of providing for effective financial control over expenditure.

(II) NEWS FROM ABROAD

The Government of *Pakistan* has announced the appointment of a Pay and Service Commission headed by *Mr. Justice A.R. Cornelius* of the Supreme Court to review the structure and organisation and inquire into salaries and conditions of the Civil Service. A Projects Division charged with the responsibility of implementing development projects and watching their progress has been established in the President's Secretariat.

The Chancellor of the Exchequer, *U.K.*, has appointed a small group headed by *Lord Plowden* to assist the Government in its review of the

control of public expenditure.

In the *U.N.*, a Special Economic Policy Board has been established under the chairmanship of the *U.N.* Secretary-General to streamline the handling of Governments' requests for economic and other aid. *Shri C.V. Narasimhan*, *U.N.* Under-Secretary for Special Political Affairs, has been appointed as the Executive Member of the Board. The Technical Assistance Committee has recommended that technical assistance programmes should be planned experimentally for a two-year period to improve the effectiveness both of planning and execution.

(III) INSTITUTE NEWS

A Short-term Course on Planning was organised by the Institute, in association with the Planning Commission, from August 3 to 29. It was attended by 16 officers drawn from the Planning or Development and Finance Departments of nine State Governments and three representatives from the Central Government. About 34 experts which included senior officers of the Planning Commission and the Government of India and professors gave talks on various theoretical and practical problems of planning.

A similar Short-term Course on Budgeting was organised from September 14 to 26 in co-operation with the Union Ministry of Finance for officials of Governments, both State and Central. *Dr. Robert Herminia*, Director of Research, Bureau of the Budget, New York State, *U.S.A.*, delivered a series of eight lectures on the Theory and Practice of Programme and Performance Budgeting.

A two-member delegation, consisting of *Prof. V.K.N. Menon*, Director, *I.I.P.A.*, and *Shri K. P. Mathrani*,

I.C.S., Director, *O & M* Division, and Joint Secretary, Cabinet Secretariat, attended the XIth International Congress of Administrative Sciences held at Wiesbaden, Federal Republic of Germany, from August 30 to September 3.

Lectures delivered recently at the Institute's premises were: "Planning and Public Administration" on August 10 by *Prof. D. R. Gadgil*, Director, Gokhale Institute of Politics and Economics, Poona; "Institutional Factors and Development Planning" on August 17 by *Dr. V.K. R.V. Rao*, Vice-Chancellor, University of Delhi; and "The Poverty of Nations" on August 20 by *Dr. P.S. Loka Nath*, Director-General, National Council of Applied Economic Research.

The Institute has announced the third Essay Competition. The subjects for the 1959 Competition are one or more aspects of Public Enterprises or Public Service Commissions, or Democratic Decentralisation. Closing date is January 31, 1960.

The Executive Council, at its Thirty-second meeting held on August 8, re-coopted *Shri Vishnu Sahay*, I.C.S., Cabinet Secretary, Government of India, and *Gen. K.S. Thimayya*, Chief of the Army Staff, as members of the Executive Council, for one year.

The annual General Body Meeting of the Mysore Regional Branch, held at Bangalore on July 18, elected *Shri P.V.R. Rao*, I.C.S., Chief Secretary to the Government of Mysore, as Chairman, and *Shri T.R. Satish Chandran*, I.A.S., Deputy Secretary to the Government of Mysore, as Honorary Secretary.

A seminar on 'Problems of Urban Housing' was organised by the Regional Branch at Bombay on September 6-7 under the presidentship of *Shri K.L. Panjab*, I.C.S. (retd.), former Chief Secretary to the Bombay Government.

Important publications recently brought out by the Institute are: (1) Improving City Government—Proceedings of a Seminar (September 13-14, 1958); price: Rs. 3-50. (2) Morale in the Public Services—Report of a Conference (January 3-4, 1959); price: Rs. 2-50.

Shri L.P. Singh, I.C.S., till recently Member-Secretary, Pay Commission, Government of India, who has been connected with the Indian Institute of Public Administration in various capacities and as the Editor of the Indian Journal of Public Administration, has proceeded to the Harvard University (U.S.A.) for nine months' stay. He will be a Fellow of the Harvard University Centre for International Affairs, and work in the field of political and economic development.

During *Shri Singh's* absence from India, the Director of the Institute will act as Editor of the *Journal*.



DIGEST OF REPORTS

ISRAEL, REPORT OF THE PUBLIC COMMITTEE ON PRINCIPLES AND STANDARDS OF CONDUCT OF PUBLIC OFFICIALS, of the Israel Political Sciences Association. Jerusalem, 1959.

The Committee was appointed in June 1956 by the Israel Political Sciences Association under the chairmanship of *Justice Z. Berenson*, of the Supreme Court of Israel. In the present report the Committee has attempted to formulate a code of ethics for civil servants, leaving the preparation of a similar code for ministers and others elected officials for a later stage. In making its recommendations, the Committee took note of the study prepared by *Dr. Y. Dror*, Instructor in Political Science and Public Administration at the Hebrew University, which contained, *inter alia*, a comparative analysis of the rules of conduct for civil servants prevailing in various countries and jurisdictions, the experience of its members, comparative research into conditions prevailing in the public service of other countries, and the need for the adaptation of these data to the conditions of Israel.

The recommendations of the Committee are primarily intended to assist the civil servant in establishing guide-lines for his own conduct and to help him in the formation and development of a tradition of a responsible, loyal and efficient public service; these can also be of assistance to the competent authorities faced with the need to formulate laws and regulations concerning service in public bodies. The findings of the Committee are given below:

(I) Application of the Recommendations

The principles and standards detailed in the present report apply

to civil servants and other public officials, subject to modifications resulting from the differences between various public bodies.

(2) General Duties

(a) A public official owes allegiance to the State of Israel and its laws.

(b) A public official represents in the eyes of the public the body in which he serves and the public service in general. In order to fulfil his duties and purpose, the public official requires the confidence of the public. It is the duty of the public official to protect the reputation of the public service and to refrain from committing any act likely to cast aspersions on the service and to arouse suspicion, albeit unfounded, with regard to the integrity and rectitude of the public service.

(c) It is the duty of a public official to fulfil, honestly and loyally, all tasks incumbent upon him, to observe the provisions of the law and to serve public interest alone.

(d) It is the duty of a public official to conduct himself, both within the framework of the service and outside that framework, in a manner befitting his function, his status and the honour of the agency in which he serves.

(e) It is the duty of a public official to treat courteously and without favouritism all persons applying to him.

(f) It is the duty of a public official to do his utmost, within the framework of his functions, to

further the work of the agency, to improve administrative procedures, to increase productivity and to ensure the observance of the principles and standards that are to govern the conduct of public officials.

(g) A public official should conduct himself respectfully and politely towards his colleagues, including his superiors, equals and subordinates.

(3) Political Activity

(a) A public official should abstain from any political or public activity likely to impair, or to seem to impair, his ability to maintain public interest above party interest, or his ability to perform his tasks without favouritism.

(b) Senior public officials and persons holding representative positions are especially required to refrain from any conspicuous political activity, including public appearances on behalf of a political party, participation in political demonstrations and processions, and participation, either written or oral, in political debates from public platforms.

(c) A public official is required to refrain from any political activity while on duty or at his place of work.

(d) A public official may not make use of his official status for partisan purposes. He is particularly forbidden to attempt to influence the political opinions of those subject to his authority or of persons with whom he has contact in the course of his functions.

(e) A public official may not collect funds in support of a party or any political body whatsoever.

(f) A public official may not make use of political connections in order to obtain promotion or preferential treatment within the service. It is also forbidden to the public official to show preference or discrimination towards another official, to recommend or to refrain from

recommending him, or to determine his attitude towards him, on the basis of identity or diversity of political views or on the basis of partisan considerations.

(g) A public official in his private capacity is entitled to express publicly, both in writing and orally, his views on general public matters unconnected with his work, provided that he observes the principles stated above, and within the following limitations:

- (1) A public official shall express himself in a style and manner befitting his status.
- (2) A public official shall not publicly criticise, either orally or in writing, the office or agency in which he serves.
- (3) A State official shall not publicly criticise, either orally or in writing, any other government offices, or government policy, unless he has previously obtained permission to do so from his superiors.

(4) Labour Relations

(a) The nation and the state entrust public officials with important functions and extensive authority in the belief and expectation that public officials will conduct themselves with self-restraint befitting their status as public servants. As all citizens, the public official is entitled to strive for the improvement of his working conditions and to organise to this end and for other collective activities, including, *inter alia*, participation in the improvement of public services, in increasing their efficiency and in the furtherance of a tradition of responsible public service. At the same time, the public official, when negotiating over his working conditions, should refrain from employing means incompatible with the special relations of loyalty and joint service that tie him to the state.

(b) The Committee recommends to public bodies and to organisations of public officials to establish joint mediatory machinery for the clarification of issues on which they disagree.

(c) The Committee recommends to organisations of public officials to set down a rule whereby, in case of dispute with a public agency, only an authorized national body of a public officials' organization should be entitled to decide on measures that are liable to disturb the work of the public agency.

(5) *Business and Social Connections*

(a) The duty of a public official to perform his functions without favouritism and for the public good calls for abstention from situations in which it would be difficult for the public official to withstand material or social pressure that might be brought to bear on him for the purpose of causing him to deviate from his course of duty.

(b) In order to avoid, as far as possible, the creation of situations which might make it difficult for the public official to perform his duties correctly, he should refrain from establishing any business or commercial relations, in person or through others who act for his benefit, with bodies which come into contact with him in the exercise of his functions.

(c) Thus, a public official should refrain from close social contact with persons having frequent recourse to him at his work, to the extent to which such connections might influence or seem to influence him in the performance of his duties as a public official.

(d) A public official is forbidden to accept from a person or a body which come with him in contact in the course of his functions, directly or indirectly, either himself or through members of his family, any

benefit or gift which go beyond the dimensions customary in ordinary social relations.

(6) *Dealing with Applications of Persons Close to the Official*

A public official should refrain from dealing with applications in matters of business, commerce, and the like, of persons or bodies whose relations with him would render it difficult for him, or might cast a doubt on his ability, to deal with their applications without favouritism. Such person and bodies include, *inter alia*, members of his family, bodies or persons with whom he worked prior to entering public service, bodies or persons with whom he has business or commercial relations and the like. When such a person or body applies to him, the public official should refer them to another official. In cases where this is impossible, he should inform his superiors in writing of his special relations with the applicant.

(7) *Restrictions after Termination of Service*

(a) In order to avoid suspicion of favouritism, a public official who leaves the public service should refrain for one year from the date of his leaving the service from accepting employment with any person or body with whom he has had contact in the course of his functions in the public service and to whom he had granted licences, concessions, contracts for the execution of works, and the like, unless he received special permission from the management of the public body in which he had worked (in the case of a government official—from the Civil Service Commission).

(b) A public official who leaves the public service should refrain for two years from representing any individual or body before the office in which he served or before other

public offices with which he had contact in the course of his functions. Also, he should refrain for all times from representing any individual or body before the office in which he served, or before other offices with which he had contact in the course of his functions, in those matters with which he dealt while being a public official.

(8) Secrecy

(a) A public official is forbidden to communicate to any other person information which is not publicly known and which reached him by reason of his work, except, insofar as this is necessary for the fulfilment of his functions or as he is authorized to do so by his superiors. Such information is a trust entrusted to the public official for the purpose of fulfilling his functions, and for this purpose only.

(b) A public official is forbidden to use for personal benefit information which reaches him by reason of his work. To avoid suspicion, public officials will refrain from participating in any private transaction wherein the information which he has is of any significance.

(c) The prohibitions detailed in the sub-sections (a) and (b) above apply to public officials after their separation from public service as well. A former public official wishing to publish information that is not of public knowledge and which had reached him by reason of his work, must obtain written permission to do so from the management of the body in which he had served.

(9) Duty of Notification

To the extent to which a public official gains knowledge of the commission, within the body in which he serves, of an unlawful act, it is his duty to notify his superiors.

(10). Additional Employment

(a) A public official should devote the best of his working capacity and ability to his functions in the organization in which he serves. He is forbidden to undertake any additional work except by permission of his superiors. To the extent to which a public official has received permission for additional work, he is required to report to superiors, to be appointed for this purpose, whenever required to do so, full details as to the nature of the additional work, its place and the income or any additional benefit which he derives from it.

(b) The public official is forbidden to engage in additional work liable to impair his working capacity within the public body.

(c) A public official is forbidden to engage in additional work likely to impair or to seem to impair his ability to perform his functions without favouritism, or not befitting his position as a public official. *Inter alia*, a public official when doing additional work, is forbidden to engage in preparation of data or applications intended for the public body in which he serves. He is also forbidden, in the course of his additional work, to represent a person or a body before any public agency or before any person or body with whom he has contact in the course of his public service.

(d) A public official is permitted to engage in activities of a public nature for which he receives no remuneration, subject to the restrictions contained in sub-sections (b) and (c), above.

(e) A public official is permitted to engage in any artistic, literary or scientific work, which does not entail a permanent connection. To the extent to which a public official derives financial income from such work, he is required to report it to

superiors to be designated for this purpose.

(11) Personal Conduct

In order to preserve the reputation of the agency in which he serves as well as the confidence of the public, a public official should conduct himself at work and in his private life in a manner fitting the rules of ethics, decency and courtesy, and should serve as an example in obeying the

various laws and legal orders.

(12) Authorized Interpretation

The Committee recommends to all public bodies, which have not already done so, to set up a unit or to appoint a functionary to whom employees of the institution can apply for an authorized interpretation before the fact, in all matters concerning the standards of conduct applying to them.



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I, V. K. N. Menon, hereby declare that the particulars given above are true to the best of my knowledge and belief.

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V. K. N. MENON

BOOK REVIEWS

THE ORGANISATION OF THE GOVERNMENT OF INDIA ; By THE INDIAN INSTITUTE OF PUBLIC ADMINISTRATION, Bombay, Asia Publishing House, 1958, xii, 416p., Rs. 20.

The Indian Institute of Public Administration deserves to be congratulated warmly on its publication "The Organisation of the Government of India". It is no exaggeration to say that, of its kind, this is one of the most well-thought out and well-planned compilation. The object with which this book was undertaken is stated to be to provide a convenient source to which teachers and students of Political Science and Public Administration in India "could refer for full and up-to-date information regarding the organisation and functions of the machinery of our Government." The objective has certainly been achieved. The Institute realises that revised editions will have to be brought out at fairly frequent intervals, for, we are living in a dynamic period and in many directions changes in organisation and even in the top machinery of Government will be unavoidable. Already the compilation has become out of date; there are, for instance, now separate Ministries of Education and of Scientific Research and Cultural Affairs; a new Department of Co-operation has come into being; and there have been significant changes in the allocation of subjects as between Ministries. It would, nevertheless, perhaps, be advisable to bring out a completely revised edition only after a period of time not less than say three years, and during the intervening period make available annual supplements, giving an account of the changes that may have taken place in the intervening 12 months. This will make it possible to undertake a more satis-

factory revision as also to enable the purchasers of the present edition to keep themselves up-to-date at a relatively low cost.

It is inevitable that there should be some errors and omissions in a compilation of this nature, particularly when it is a first effort. The surprising thing is that there are so very few errors and omissions. I venture to mention here one or two that have struck me, they are indeed not strictly omissions but their inclusion, to my mind, might have made the book more complete.

The historical introduction relating to the Cabinet Secretariat might, thus, well have been expanded. It makes no reference, for instance, to the fact that the Viceroy's Private Secretary had ceased to function as the Secretary of the Executive Council for quite some time before Independence. Indeed, the regular Cabinet Secretariat organisation was created early in 1946 with Sir Eric Coates as the Cabinet Secretary. Simultaneously was established a Co-ordination Committee of the Cabinet, presided over by the Finance Member, to ensure a co-ordinated policy among the departments, concerned with economic and industrial matters. The Secretaryship of this Committee was entrusted to a Joint Secretary of the Cabinet. It was also decided that the Cabinet Secretariat should provide the Secretariat for all the more important Inter-Departmental Committees that may become necessary to set up from time to time. Perhaps, the most significant innovation was the creation

of a Military Wing in the Cabinet Secretariat in charge of a Military Officer of the rank of a Deputy Secretary. This was perhaps the first time that the Defence Ministry and the Armed Forces were associated with an essentially civilian organisation in this direct manner. The existence of a Cabinet Secretariat organised on these lines was of great help when the interim Government was formed in September 1946. At that date the Viceroy was still the effective Executive Head of the Government and the Cabinet Secretariat was directly responsible to him. To make possible a satisfactory liaison between the Viceroy and the leader of the interim Government, Shri Jawaharlal Nehru, it was arranged that the Joint Secretary of the Cabinet should work as the Principal Private Secretary to him.

The Cabinet Secretariat was organised on the British model and, as in the U.K., was designed to, and does in fact, play a very vital role. Perhaps in the revised edition it would be useful if a fuller account is given of the part that the Cabinet Secretary plays in the organisation of our Government. An energetic Cabinet Secretary sets the tone for the civil service at the centre. It is inevitable also that as a very senior and experienced civil servant he should be looked upon by the Prime Minister and his colleagues as a reliable guide not only on matters procedural but in regard even to such questions as the administrative feasibility of new and may be radical policy proposals. His colleagues in the civil service likewise tend naturally to turn to him for advice both on administrative and political aspects of propositions under consideration in their respective Ministries.

The brief historical accounts which precede the description of the functions and organisation of each

Ministry are of very considerable interest. In some cases, they appear to be unduly brief. It seems to me that, even if it be only as a matter of record, it would be a good thing to set out in a slightly more comprehensive manner the reasons which led to say, the name of a Ministry or its functions being materially altered, or in a new Ministry being created. Sometimes the reasons are very human. It is said, thus, that the chief reason which led to the combining of the Food and Agriculture Ministries was the fact that the State Governments got into the habit of furnishing two sets of figures to the Government of India in regard to the production of food grains in their respective States—one set of figures to the Ministry of Agriculture, and another to the Ministry of Food,—for the obvious reason that from the latter a larger allotment of food grains would be justifiable only if the production figures within the State were shown to be at a low level, while only by showing to the former definite increases in production could their demand for increased grants under the 'Grow More Food' and other programmes become sustainable. It was felt that the two Ministries could act more effectively and in a more co-ordinated manner vis-a-vis the State Governments only if they could speak with a united voice!

Reference may be made to one or two minor points. At p.32, the Attached and Subordinate Offices have been defined. The former is stated to be "responsible for providing executive directions required in the implementation of the policies laid down by the Ministry, etc.", and the latter, "field establishments responsible for the detailed execution of the decision of Government". The distinction is not very clear. Why, for instance, should such important offices as the office of the

Textile Commission and of the Tariff Commission be regarded as subordinate offices, while those of the Salt Commissioner or even of the Chief Controller of Imports and Exports be treated as Attached Offices. They are all offices responsible for the execution or the executive direction for the implementation of the policy decisions of the Commerce and Industry Ministry. There is indeed no real difference of substance or principle that distinguishes an Attached Office from a Subordinate Office. The distinction is largely arbitrary and possibly the only really distinguishing feature is the difference in the scales of salaries to which the staff in the lower categories are entitled in the two types of office.

The brief note on 'Secretariat Procedure' is a very good account of the procedure within a Ministry; no reference, however, is made to the manner in which co-ordination as between the Ministries is achieved at the secretariat level. This is obviously of very great importance in practice and needs to be dealt with fairly fully. Consultation with Ministries which might be interested in the consideration of any proposition takes place on files and through personal discussion. Of late, all important matters tend to be considered at meetings; this makes elaborate noting less necessary and enhances the chances of a satisfactory decision being reached more expeditiously.

The organisation and the functions of the Planning Commission have been described quite adequately. Is it appropriate, however, in a compilation of this kind to include actual details of the First and the Second Five Year Plans? What might, however, have been relevant would have been to have drawn pointed attention to the kind of fact

which becomes clear from the description of the functions of the various divisions of the Commission that the Planning Commission is coming perilously near to encroaching upon the functions and responsibilities of the central Ministries. Again, among the advisory bodies to the Planning Commission is included the National Development Council. This is surely inaccurate. The Council is composed of the Prime Minister, the Chief Ministers of all the State Governments and the members of the Planning Commission. The National Development Council is obviously a body superior to the Planning Commission. It is indeed a policy making body and its recommendations cannot but be regarded as policy decisions and not merely as advisory suggestions.

In the account given of the Indian Audit and Accounts Department, it would have been an advantage had reference been made to the question of the separation of accounts from audit. The latter is undoubtedly the responsibility of the Comptroller and Auditor-General while the former should ordinarily be that of the Government. What led to the combination of these two functions is mentioned in the historical account, but why after Independence the situation remains unaltered has not been explained. At one time, the first Auditor-General of Independent India had himself expressed the wish that this separation should be carried out as quickly as possible and an experimental division of some offices was carried out. That view has been modified of late. There is no doubt something to be said for letting things remain as they are, but is there a weighty case to justify separation? Although no final decision has yet been taken by Government, some reference to the results of the separation on an

experimental basis would have been of value.

Finally it would have been a good thing if in the portion dealing with the Council of Ministers and the Cabinet, a somewhat fuller account had been given of what is understood by the Cabinet system of Government in the United Kingdom, from which we have borrowed it, in what respects we have departed from that model and to what extent we have definitely accepted the principle of collective responsibility

of Ministers, etc.

May one hope that a compilation describing the organisation of State Governments will be undertaken at an early date, if indeed it is not already in hand? It would suffice, perhaps, if the details of the organisation of one representative State Government are given, and then in regard to the others, only the points where they depart from that standard model may be described in full.

—H. M. Patel

INDIAN ADMINISTRATION; By ASOK CHANDA, London, George Allen & Unwin, 1958, 274p., 25s.

This book has not received the active attention it deserves in view of the vital importance and urgency of the administrative problems it deals with. There has no doubt been some abatement of un-thinking criticism of the post-Independence working of our administrative machinery and, in particular, of the officers who have to run the machinery. It will however be readily conceded that a re-orientation of our administrative machinery for adapting it for our democratic constitution can be delayed no longer. In the words of the author, "a high level comprehensive examination of the machinery of Government should now be undertaken to give administration the form and purpose necessary for the realisation of the objectives of a welfare state." Apart from the Pay Commission, no authoritative body on the lines of a royal or parliamentary commission has been set up so far for examining this vital question of the appropriate machinery of Government. In default of such regular Governmental investigation, the public must welcome such study of the relevant problems as may be forthcoming from individuals who, by virtue of their administrative experience, are in a position to deal with them in a competent manner.

This is what has been done in the present book. It, therefore, behoves our legislators and political leaders as well as our Government to bestow adequate attention, and, what is more important, to take action, on the analysis made by the author of our basic administrative problems and on the recommendations he has made for solving them.

The explanatory background which the book gives to the several constituents of Government and administrative machinery provides incidentally an extremely useful history, in a remarkably succinct form, of the evolution of Indian administration. What is of the most practical value in the book is however the analysis of the "present set-up and trends (of the administration) and the direction in which it would need to be modified to suit the growing needs of our Government and its social policies", in the language of Dr. Radhakrishnan's foreword. The most valuable portions of the book are thus those dealing with the reforms which the author considers necessary for adapting the administrative machinery, particularly the services, for the welfare state. As stressed in the foreword, the author writes with personal knowledge of

many aspects of administration. The author's personal experience of the secretariat must not be deemed to be confined only to his tenure as secretary proper in the (now defunct) Production Ministry. It may not be now generally known that throughout his long and varied career as financial adviser his administrative colleagues always welcomed, and often sought, his advice on the merits and soundness of the administrative aspects of cases.

Mr. Chanda's analysis of our administrative problems and his views and suggestions regarding re-orientation of the machinery must, therefore, obviously command attention. How far his views on the more general constitutional problems such as the position of the Parliament, functions of the President, size of the Cabinet, status of the Planning Commission, etc. will find favour with the politicians and members of Government is not easy to say, even though his views may claim a high degree of soundness in the light of experience of countries with forms of government and administration analogous to our own and in the light of the short actual experience we have had since 1947. The author seems to have been faintly conscious of this uncertainty and therefore he has only analysed the issues and posed the problems requiring consideration and action as regards the matters of more general interest. Regarding certain reforms the author has, however, made his own constructive suggestions also. His views and suggestions regarding the position and functions of the services and the working of the Secretariat must, however, obviously receive much greater attention.

For bringing about a perceptible improvement in the standard of living of the people high hopes are being built on the five-year plans. The

proper execution of the projects covered by the plans would depend primarily on the efficiency of the civil services, technical and non-technical. As would appear from the failure to utilise large percentages of grants and from the delay in the completion of projects there is a danger of our plans being wrecked on the rock of lack of trained and efficient personnel. Particular value must therefore attach to his recommendations designed to improve the efficiency of the role which civil servants are to play in administration.

It will be readily agreed that "the question of resuscitating these (the old All India) services or finding a suitable alternative requires immediate consideration." There will also be general agreement with the powerful plea for a re-organisation of certain technical services on an all-India basis with necessary central control as in the case of the Indian Administrative Service and Indian Police Service. The functions to be discharged by the services have gained enormously in importance and complexity. It is obvious that only the cream of the Indian intellectuals can do justice to these functions. All the best products of the universities in the whole of India must therefore be picked out and pressed into the service of the nation every year.

There is no reason why action should not be taken immediately on the author's alternative of organising the technical services and central services jointly with such States as have agreed, or can be prevailed upon to agree, to a joint cadre. All will endorse the author's plea for the retention of the system of inflow and outflow of administrative officers from the States to the centre. The pity of it is that the convention is more often than not sought to be honoured in breach than in observance.

The author's plea for the integration of existing services into a common civil service is more debatable. His main reason for pressing this recommendation seems to be that the best talent from services other than the Indian Civil Service and Indian Administrative Service does not enjoy free flow to promotion to the highest offices. The resulting mental complex and discontent therefore affect efficiency. With all its limitations, recruitment by an open competitive examination of the kind conducted by the Civil Service Commission in the United Kingdom and our own Union Public Service Commission continues to be accepted as the most practical method of recruitment for public services. In defence of this test Lord Macaulay urged that those who distinguished themselves in the arts and sciences in their academic life generally made their mark also in the various spheres of life in which they sought their career. Is it not therefore rather too late in the day to quarrel with that system and advocate the formation of a single service with diluted personnel in which would be herded together the good, bad and indifferent?

Attention may also be drawn to a few of the valuable specific recommendations regarding reforms, particularly of the Secretariat, on which action ought to be taken without further delay.

The number of the annual intake of the recruits to the All India Services should be fixed on a long-term basis. The necessity of this has been demonstrated by Government having to undertake two special recruitments since independence. Recruits of all services should be given a multi-purpose training. The position of the Secretary in the Central Government must be stabilised and defined as clearly and firmly as

possible. Recent events have brought into greater relief the urgency of establishing stable and practical conventions governing the relations of the Secretary and the Minister. The business rules for the transaction of Government business must also be made more indisputable. Prescription of suitable disciplinary action against officers seeking to invoke the aid of politicians and legislators for redress of personal grievances; improved pensionary provisions; the anomaly of an officer of the status of Joint Secretary in the Home Ministry being left in charge of the administration of the services (against which several Cabinet Ministers have protested since independence) and entrusting this function to "a high level officer answerable only to the Prime Minister" are also some of the specific suggestions on which action can be taken without delay. In view of the relations between the Public Accounts Committee and the Comptroller and Auditor General having now been firmly established, the author's suggestions regarding improvement in the procedure for the exercise and enforcement of Parliament's control over financial administration and his criticism of the proneness of the Estimates Committee to going beyond its sphere will, it is hoped, be received with good grace by all concerned. Similarly his suggestions for preventing or minimising delay brought about by financial approval having to be obtained to minor departure in plans must obviously carry great weight as the large-scale annual surrender of funds has become almost a scandal. All will endorse heartily the author's plea that the relations of the Comptroller and Auditor General with the administration should now be co-operative and the British practice of disposing of irregularities at personal discussions and recording in the final report only serious lapses and defaults

should be progressively established so that the administrative allergy to audit as being only keen on showing the administration up may abate.

The author has made constructive suggestions of a highly practical nature for improving administrative methods and procedure which urgently require mending or ending. The overall value of the book is

thus very substantial. If the powers that be initiate a high-power examination of the fundamental issues and take action, without further delay, on the constructive suggestions of a practical nature the author's labours should be amply rewarded and the country would have good reasons to be grateful to him.

—R. N. Banerjee

PROVINCIAL METROPOLIS; By L.P. GREEN, London, George Allen & Unwin, 1959, 275p., 30s.

This book is the result of the research undertaken at the invitation of the University of Manchester by Dr. Green, formerly Lecturer in Public Administration on the staff of the University at Natal and now a member of the Department of Town Clerk in the City of Johannesburg, into the problems of planning and administration in the area of South-East Lancashire, the home of the cotton textile industry in England.

In every country increase in urban population and the growth of vast conurbations around industrial and commercial cores gives rise to complex problems of organisation and maintenance of civic services. Obsolescence of old industrial areas and blight of property in central districts of large cities give rise to problems of overspill and re-siting of industries. This requires planning on a broad basis, transcending limits of jurisdiction of existing local authorities, which were constituted over a hundred years ago on local rather than regional or zonal considerations. In the cities of yesterday a man's home and place of work were fairly close to one another but rapid means of transport have separated the homes from places of work by as much as 50 miles and the daily procession of commuters to and from the city has resulted in acute shortage of parking and congestion on the

roads. The historic city of London occupies not more than one square mile but Greater London which corresponds with the metropolitan police district of 722 square miles with a population of 8.3 millions in 1951; the county council's jurisdiction extends over only 117 square miles of this vast urbanised region. Greater New York is divided between two States and 556 boroughs, cities, towns and villages. On the West Coast of America there is a continuous zone stretching over 600 miles.

The book is a plea for a new concept of a 'metropolitan region' as the unit of study and provision of civic services. This concept is based on the twin factors of community of interest and accessibility. The general pattern of a metropolitan region is a central industrial and commercial core in which the vast percentage of the working population of the area resides and the inner and outer zones, denizens of which spend several hours of the day in the inner core. For fixing the metropolitan framework a study of the pattern of population, land use, traffic, communication, journeys to work, market and entertainment, urban and rural services—in short all that is implied in the basic concept of the circulation of peoples, goods and services between homes and places of

work is included. After marshalling all the data, Dr. Green has identified the metropolitan region of South-East Lancashire with an area of 793.2 square miles and a population of 2.716 million in 1951. The heart of this region is the town of Manchester to which gravitate in varying proportions citizens from different zones of the region, the commercial and industrial core of which consists of 23 square miles from Urmiston to Stockport.

At present the municipal administration of this area is in the hands of 16 central government agencies, 5 divisions of national public corporations, 2 regional corporations, a hospital board, several hospital management committees, 23 national health executive councils and 76 local authorities. For certain functions one local body has often to be given jurisdiction outside its limits but constant wranglings between the local bodies about provision of space for overspill and other problems are leading to loss of faith in local government and concentration of power and functions in the hands of the central government as in the case of gas, electricity and health services. The solution suggested by Dr. Green is a radical re-organisation of local government on a regional and zonal basis. According to his scheme Metropolitan Lancashire would form a county council having jurisdiction in metropolitan and ancillary matters for the whole of the region. New second-tier district councils would be established for each of the 15 subsidiary zones in which the area will be divided. In each subsidiary zone containing a population more than 100,000 the existing local authorities would form a new county borough. Elsewhere municipal boroughs would be formed thus reducing the number of units of local administration from 76 to 16. The services to be provided would be

divided into 3 categories:

- (a) those to be provided, financed and administered by the county council;
- (b) services to be financed, planned and organised by the new county councils, but to be delegated either wholly or in part to the new district councils; and
- (c) services to be financed, planned and administered solely by the new district councils.

In the allocation of the services, the county councils exercise greater control on boroughs situated in the inner zone than those which are situated in the outer zone. Among the services reserved for administration by the county councils are overspill housing, industrial and commercial development, public transport, water-works and police services. Town and country planning, sewage disposal, fire services are to be financed, planned and organised by the county councils with power of administration delegated in varying degrees to the district councils. Other services would be managed by the district councils on their own.

The two-tier system suggested by Dr. Green is not original and is based on past experience in England, America and elsewhere. The two-tier formula was also at one time advocated for Delhi but was not adopted for the reason that some of the local bodies, which would have constituted the second-tier in Delhi, were still in the formative stage. There was no point in delegating powers to units which had not developed a tradition of local democracy or sizable revenues for performing functions which could best be performed on a local basis.

Although much of what Dr. Green says may not be immediately

applicable to India until our industrial revolution gets going for two or three decades, the book, apart from being an intensive study of a particular region, contains a bird's-eye view of the problems of local government in industrial areas and attempts made elsewhere to meet their challenge. The growth of local self government in our country has, for various historic reasons, been weak and we shall not probably

encounter the same difficulties that have been encountered in England in revision of boundaries of local authorities. At the same time the book will be useful to our administrators and councillors as a warning against basing municipal administration on purely geographical units rather than on the more dynamical concept of a population with common interests.

—A. D. Pandit

PUBLIC ENTERPRISE AND ECONOMIC DEVELOPMENT; By A.H. HANSON, London, Routledge and Kegan Paul, 1959, xiv, 485p., 42s.

This book on public enterprise by Prof. Hanson is a welcome addition to the literature on economic development dealing as it does with one of the important techniques of contrived development which has not received adequate attention so far. It is likely to be useful particularly to students of public administration in under-developed countries who wish to have an orientation in the economic aspects of public enterprises.

The author has attempted a comparative study of public enterprises in a number of countries, but the focus is on the politically independent, non-communist under-developed countries. Turkey, Mexico and India are selected for case studies. The great value of the book lies in the bringing together of the experiences of a large number of under-developed countries in the field of public enterprise. The different forms which public enterprises have taken in these countries are described in detail and a number of important issues are touched upon in the course of the narrative. But the attempt at comprehensiveness makes the treatment very sketchy and the reader is likely to miss the wood for the trees. Moreover, the author has tried to deal with various problems of economic development itself, which

are, if at all, only remotely concerned with the main theme of public enterprises: for example, the appropriate role of deficit financing, mobilising the saving potential found in the form of disguised unemployment and even the entirely separate problem of the choice of taxes in the context of development. The discussion of such issues could well have been omitted.

A major implicit premise—made explicit in some places—of the author is that it is desirable to have a large public sector in spite of the enormous difficulties involved in efficiently organising and running public enterprises in under-developed countries. He seems to be most in sympathy with the general economic policy adopted by free India where significant public enterprises are thought of as permanent features of the economy. Though Prof. Hanson does point out (pp. 132 and 145) that Mexico, for instance, has been able to achieve a considerable measure of economic development in spite of adhering to the opposite policy of fostering "free enterprise" and widening its sphere, he nowhere makes it quite clear that a permanent and growing public sector is called for only if a country wants a socialist-oriented economy. It is not the requirements of economic

development or the "logic of the situation" as such that postulate the existence of a large public sector—with public enterprises in strategic fields—as a *permanent* feature of the economy; it is rather the goal of a socialist society which some countries like India have freely chosen to adopt.

The existence of a well-trained civil service, a fairly large educated middle class, an independent audit system and other factors has made India, among most under-developed countries, a particularly suitable place for the growth of public enterprise. A line of thinking which prescribes large "doses" of public enterprises in all under-developed countries is likely to end up by burdening some governments with tasks which they are clearly ill-fitted to perform. The Burmese Government has considered it necessary at this stage to retreat from some fields of enterprise. This may be as wise a step for Burma as it has been for India to go forward in several fields.

While it is true that public enterprises are an important and essential means of furthering development in under-developed countries, their range and scope will vary with the totality of conditions in each country. The author would have done well to bring out more clearly the factors that determine the desirable range of public enterprises in any given country.

A great deal of study and research has obviously gone into the writing of this book. The survey of the various types of developmental agencies found in under-developed countries is well-organised and comprehensive. However, in the discussion that follows the author does little more than raise a number of important issues. In particular, the role of public enterprises in resource-mobilisation is inadequately dealt with. All in all, this is a worthwhile book, but a reminder that much work in this field remains to be done.

—R. J. Chelliah

COLONIAL PLANNING—A Comparative Study; By BARBU NICULE-SCU, London, George Allen and Unwin Ltd., 1958, p.208, 18s.

This study of Colonial Planning attempts to provide a comparative analysis of the attempts at planning made in various colonial areas from 1930 onwards and especially in the post-1945 period. The idea of planned public expenditure found favour with colonial administrations especially in the period after the great depression. Even in the metropolitan countries, the *laissez faire* approach was largely given up as a result of the depression and this had considerable impact on colonial economic policy as evidenced by the Colonial Development Act, 1930, passed by the British Parliament. The war-time experience regarding the useful role of Government in the economic system gave further

impetus to the idea of preparing plans of development. The Soviet experience in planned development and even to a certain extent German experience influenced this new orientation. Therefore, planning for colonial development became a normal feature of colonial administration in this period.

As the author admits, there are such large variations in the economic and social conditions prevailing in the different colonies that an attempt to generalise about colonial planning is bound to be somewhat hazardous. But many of the colonies present sufficient similarity both regarding the basic problems faced by them and the efforts made to solve these

problems to make a comparative analysis of such plans worthwhile. The reasons for the retardation of economic development in most of these colonies are largely similar; so also the difficulties in the way of development. Their social framework is not adjusted to the use of modern techniques; and also the techniques that developed in the advanced countries are not specially suited to conditions which prevail in these areas. Moreover, by definition, most of these areas were under the political control of some metropolitan power and this influenced the whole process of development. While the approach of the different metropolitan powers to economic development of their colonies varied in basic objectives and this affected the type of development efforts undertaken to a certain extent there are sufficient similarities in the plans to indicate that essentially there is a common approach.

Planning in colonies, Dr. Niculescu points out, could not obviously be of the Soviet type both for ideological and practical reasons. The administration which was charged with the task of planning had certain peculiar features. There was a general shortage of staff, both technical and administrative, and as this staff had been traditionally recruited from the metropolitan country to a large extent, with the impending political changes, such staff was no longer readily available. The lack of effective knowledge of and consultation with the people in the colonies also meant that the political decisions that are necessary for any fundamental changes in the socio-economic structure were not forthcoming and this inevitably limited the nature of the plans. Therefore the colonial plans could not deal with the economy as a whole, with the national output as a whole, but only with certain tools of production. Even

there, the author points out, certain limitations seem to be inherent in the extent to which the planners were ready to go. The emphasis in the plans generally was found to be on the development of *known* resources rather than on prospecting and surveying in search of *new* ones—most plans tacitly considered that to be the business of private enterprise. The plans concentrated not directly on increasing production as such, but on the provision of the necessary framework for the development of production, for example, the establishment of communications, adequate supply of power etc. Even when more direct participation in problems of production was considered proper, as happened in the case of agriculture, such participation was largely confined to defensive measures like campaigns against soil erosion. The decisions made regarding priorities emphasise this observation. While in the plan discussions, a number of new ideas emerge, some of them controversial, in practice considerable priority is given to three or four fields which were already generally accepted and being developed. Communications followed by agriculture take up the bulk of productive investment and education followed by health at some distance take up the bulk of investment in the social services.

The study provides some very interesting information about the planning experience in these years. It points out that though in most lands lip-service is paid to the impact of social services on the development process, by and large, the plans continue to look upon social services as consumption rather than as investments. When planning for resources, the impact of development expenditure on generating resources in the future is many times ignored. This leads to very peculiar results in resource planning for the future. The

estimate for the future, the author points out, generally evades any mention of increased resources attributable to the development plans themselves. "The tendency has, therefore, been to envisage future resources on the basis of projected present resources minus projected present recurrent expenditure and minus additional recurrent expenditure arising from new capital development projects, thus leading to the rather paradoxical situation by which development implies a diminution of future budgetary resources available for additional development." (pp. 132-133).

Many of the peculiarities and defects in colonial plans to which Dr. Niculescu draws attention seem to stem from the nature of the administrative machinery in these areas. The bulk of the colonial administrators have been a body of "specialists" in colonial problems without much leavening of technical specialists in important administrative positions. The institution of the District Officer who is in charge of all aspects of administration in the district with considerable delegation of powers but without any real technical knowledge or competence has been an important part of most colonial administrations. Such a system, the author points out, is not very effective when there is a shift from the maintenance of law and order to economic development and welfare as the main function of administration. He also points out how the differences in customs, in language and in material and educational backgrounds between the District Officer and the population living under him create a gulf between them, the relations between them at best being as between a guardian and a ward and this proves harmful to planning because, as the author points out, guardians are notoriously unable to understand the needs

and emotional processes of their wards.

The artificiality of administrative units in most colonies is pointed out by the author as another important hindrance to effective planning. The units have not been integral units, socially, economically or politically. This has made effective planning with a correct understanding of the needs and aspirations of the people concerned difficult. Even when decentralised planning is attempted to overcome this difficulty, the sub-units or regions also many times being artificial in character, this does not prove to be of much help.

The analysis put forward by the author shows how the administrative machinery as developed in colonies vitally influences the attempts at planning there. The "problem" approach to planning is usually considered better than the "departmental" approach. But because of the administrative machinery already existing in the colonies, the departmental approach generally prevails. In most cases, it is the department which prepares schemes and the so-called plan often does not go beyond some of the departmental plans. The schemes already discussed and processed by the departments are co-ordinated and put together by a small and generally ineffective planning unit. A semblance of integrated planning is attempted to be given in the plan papers but that this is only an appearance is indicated by the fact that financial allocations as between different departments many times remain proportionately the same as before planning is attempted. Plans, the author points out, become especially in the early years, a sort of summary of departmental projects for a number of years ahead. Therefore the "plan" has only a theoretical existence. "With a good deal of straining at the truth, it might be said that

the immediate concern of planning has been the development of administrative activities and only at one removal that of the territory itself, even though the development of the territory may have been the ultimate aim." (p. 149). The departmental approach also means the rule of thumb or common sense approach to planning rather than a scientific approach which latter means taking a whole view of the development of a region or territory and priorities based upon this integrated and long-term view. While certain colonial administrations seem to have attempted the latter on the whole it seems that such an approach to planning is adopted only by special planning teams mainly coming from outside as for instance special teams provided by the International Bank for Re-construction and Development.

Another way in which the administrative structure influences plan development is indicated to be in the type of disbursal of resources. The tendency has been to concentrate on a few and large investments which need little administrative staff and to give less importance to programmes involving a multiplicity of small projects. Such programmes obviously would need a large number of low level administrative staff mainly local in character and not many colonial administrations have such staff or are ready to entrust responsibility to them in the early stages of development.

Dr. Niculescu points out that in spite of these defects, colonial plans have served a very useful purpose. For one thing, they have enabled administrators to give up the idea of looking only a year ahead, and

helped them to take a long range view of developments and further they have also helped them to think in terms of co-ordinated and integrated development rather than on departmental lines. Moreover, with the considerable political instability and change in the colonial areas, the plans have provided a focus of continuity and stability. They have provided fixed schemes of activities to which successive administrations could refer. In a period of political change, the plans have helped to maintain a certain continuity of action.

The study also goes into a number of technical problems relating to the plans but we cannot go into those aspects here. It must be mentioned that the book is of great interest to students of public administration. Dr. Niculescu points out that planning is mainly an administrative exercise. In some ways planning can be considered successful to the extent that it can help "de-politicize" an increasing number of sectors, get them accepted as technical matters out of the realm of political controversy, thus ensuring that economic development is not bogged down due to political changes. To us in India this study would be found to be of interest in many respects. The problems that we face as well as the instruments at our disposal including our administrative machinery have had considerable similarities. Some of the peculiarities of early plans pointed out by Dr. Niculescu are not very dissimilar to those experienced in this country. The analysis he presents is therefore of considerable interest to planners and administrators in India. —H. K. Paranjape

HUMAN RELATIONS IN ADMINISTRATION; By ROBERT SALTONSTALL, New York, McGraw-Hill Book Company, 1959, xv, p. 736, \$9.50.

A study of administration does not provide us with a set of ready-made conclusions immediately appli-

cable to policy. The gap between the norms of administration and the art of effective administration is filled

up by a study of human relations. Human relations, as defined by Saltonstall "is the study of people at work, not only people as individuals but people as members of informal work groups, people as executives in managements, people as union members, and people as members of organisations with economic goals." With this end in view Saltonstall has divided the study of human relations in administration into five parts as follows: (1) Background and perspective; (2) Organisation framework for effective human relations; (3) Developing the urge to produce; (4) Understanding human problems and behaviour at work; and (5) Development of professional leadership.

In dealing with the background and perspective in regard to human relations in administration, Saltonstall gives a historical picture of the gradual evolution of the importance of the study of human relations in industrial administration. Most of it is in the nature of repetitive socio-economic history, particularly in regard to the development of industrial and labour relations. In the chapter on finding the facts about human relations he emphasises the importance of research, particularly through case studies. The importance of this cannot be over-emphasised in any organisation so as to strike a proper balance between the needs of the people and the needs of the business.

In dealing with the organisational framework for effective human relations Saltonstall delineates the fundamental principles which should govern the structure of an organisation. The study of line and staff relationships does not contribute anything new to the knowledge of the twin aspects of an organisation. However, there is a very useful summary of the allocation of respon-

sibility in matters of personnel administration between the staff and the line functionaries. (pp. 144-146). The section on developing the urge to produce restates the basic satisfactions of employees from their work and which, therefore, act as incentives in developing the urge to produce (pp. 164-167). Saltonstall emphasises the importance of human relations in the development of the urge to produce and calls for "aggressive and inspired and sensitive leadership, high standards of performance and adequate discipline which leads to mutual respect" as between labour and management. The proper allocation of personnel is really comparable to that of a jigsaw puzzle wherein each piece finds its appropriate place. The importance of the foreman as a link between the management and labour has been shown convincingly. In this connection the basic objectives of human relations training as enumerated on pages 232 to 235 are to be noted.

As regards understanding human problems and behaviour at work Saltonstall's contribution is limited to certain general considerations in the understanding of human relationships, particularly in considering the ways in which resistance to change could be overcome. Here he is more concerned with the resistance of operators than that of the socio-economic framework with which theoreticians like Schumpeter were concerned. The importance of informal organisation and work groups and communications in the proper understanding of human relations have been properly worked out.

In the part on development of professional leadership Saltonstall is on comparatively weak ground while emphasising the effect of sound leadership and linking it up with the skill enjoyed in business.

He does not fully explore the possibilities of participation in leadership. The chapter on developing professional managers makes interesting reading and the one on untapped potentials of people gives useful hints as to how to bring out the best in the personnel of an organisation. The cases that have been appended to the study support the general conclusions of the author but these only serve to emphasise the broad principles which have been known and appreciated for quite some time.

It would appear to be a useful text book for the business executives but one cannot help feeling that the book could have been compressed to about 300 pages. Much of the historical part as also Parts 4 and 5 should have been left out; for here is a subject which does not lend itself particularly to rigid definitions and the laying down of formulae for the successful tapping of the human potential in administration. To students of Governmental administration parts of this book will be of interest. It will be seen, however, that there are basic differences in the approach to a study of human relations in administration, in the public and the private sectors. Whereas in an industrial enterprise participa-

tion is limited to the operators, in Governmental administration, public participation has a key role to play and the success of such an organisation depends largely on the extent to which such participation can be evoked. Further in an industrial enterprise the objectives are set and planned from the top, whereas in Governmental administration which is of the people such objectives are built up from below and a framework is to be provided for the purpose. Such a sequence in the building up of the programme demands a broader concept of human relations in administration than the limited concept of human relations in industrial enterprises in availing of suggestions from foreman and staff.

Personnel administration, as such, has its constructive, as also disciplinary, aspects. In the industrial enterprises the disciplinary aspects do not play a prominent part, for the worker who is below the standard can always be got rid of subject to the labour relations being congenial. In Government service however punitive measures have to play a large part inasmuch as the shortest and surest remedy for inefficiency in work is not always readily available.

—Nalin Panda

A PHILOSOPHY OF ADMINISTRATION; By MARSHALL E. DIMOCK, New York, Harper and Brothers, 1958, xiv, 176p., \$3.50.

In an age when administrative theory is ridden by behaviourism and management science approach, Marshall E. Dimock presents in this book, in a refreshing manner, a laudable but somewhat unsuccessful attempt to propound a philosophy of administration directed towards 'creative growth' and 'institutional vitality'. A philosophy is an integrated body of concepts, values and principles for guiding human action in one or more fields of human activity. A philosophy of adminis-

tration, the author feels, is essential today as administrators as a class largely determine the quality of human institutions upon which depends the kind of life society is going to have.

The central theme of Dimock's philosophy is that administration, like any human organism, is susceptible to growth and decline. Its continual growth depends upon integrated and balanced development both of individual administrators and

administrative institutions, their relationship to the surrounding cultural setting, and enterprising and imaginative administrative leadership. Growth is viewed both as qualitative and quantitative; its concepts provide a unified, and not a segmented, perspective of the administrative world. Balance is the keynote of integrated growth. "Administration is a skilful fusion of numerous variables in just the right proportions and with political acumen" and is concerned equally with both ends and means... the blending of institutional and individual values are the real criteria of organisation and ...the divisive influences such as hierarchy and functionalisation are only tools, not ends" (p.117).

Agreeing with William H. Whyte (*The Organisation Man*), Dimock contends that the increase in the size and complexity of an institution, after a certain optimal point, leads to over-specialisation which tends to reduce flexibility, vitality and opportunity for exercise of human initiative—elements which are vital to institutional growth. Size concentrates power. Concentrated power is universally bad for freedom and efficiency. Size also decreases facility of communication and human contact and increases the need of written policies, rules and procedures. Rules and procedures further extend rigidity and lead to deification of techniques. "... techniques, unless really integrated with a man's intelligence, personality, and way of life, are a poor foundation on which to run a society" (p. 159). Institutional growth requires a right fusion between the opposing principles of specialisation and balance—a kind of polarity. This calls for administrative leadership of a high order. The task of maintaining balance within the organisation, both in the sense of promoting flexibility and integrating 'the needs of the organi-

zation with the corresponding need of the individual to find selfhood and growth', falls on the administrative leader—a point of view also put forward by Peter F. Drucker. The administrative leader must, we are told, possess what Elton Mayo calls 'social skills' by which is meant 'not only a better understanding of what men want psychologically, but also of what is good for them and for society in terms of values'. To Dimock, the past record of administration shows that it was the quality of leadership and not techniques which were responsible for great administrative successes. This in brief is the thesis put forward by Dimock—integrated personality, integrated programmes and integrated administration.

* * * * *

The administrative philosophy of Dimock seems to lose much of its vigour and balance as he extends it to some practical issues of the day. Applying the concept of 'balance' to relations between the public and private sectors, he advocates that both the Government and the private enterprises should strictly stay within their present spheres and that the Government should confine itself to creating conditions wherein enterprise and freedom can prosper and to serving as an umpire in case of power clashes. Whenever Government takes over a private enterprise for reasons of its failure it should be handed back to private entrepreneur as soon as the faults have been remedied. The Indian reader is left to wonder how far these precepts are relevant to conditions of 'developing' countries of the East.

Dimock is highly critical of Herbert A. Simon's behavioural approach and logical-positivism, which he feels might "produce a bureaucratized monstrosity in which individuals would be appropriately punished for independent thinking

and where administration would break down because of its segmented and artificial nature" (p.115). Man, he feels, is not "merely a piece of blotting paper" that "absorbs whatever juices are running in society"; nor is "motivation simply a matter of manipulation, exploitation, thought control." Administrators should think of 'adaptation' more the way the biologist does, and not in terms of conformity to group tastes and dictates as behaviourists advocate.

It is difficult to understand the fears of Dimock in regard to the contributions made by behavioural scientists to administrative theory. Behaviourism itself is implicit in the philosophy propounded by the author. In his opinion "a viable society is unthinkable without both vital individuals and competent groups. They are complementary and interacting. Group life creates the environment into which the individual is born, following which it helps to shape his personality, his motivation, his values" (p.159). A behaviourist views an organisation as a dynamic social organism, linked through a web of institutional relationship to outside groups and agencies that constitutes its environment. He holds that organisation and environment are highly inter-dependent and so does Marshall E. Dimock when he speaks of 'cultural setting' of the administration and points out that an organisation cannot "be safely generalized about quite apart from social objectives, the directing process, or the whole of administration" (p.112). Dimock stresses that his is essentially an organismic philosophy of administration as against the multi-dimensional theory of organisational behaviour put forward by the behaviourists. One is tempted to ask how is the latter not reconcilable with the former? Dimock's fears

about 'de-personisation' of the individual under the behavioural philosophy seem to be unrealistic. Herbert A. Simon and James G. March point out that "An adequate theory of human behaviour in organizations will have to take account of the instrumental aspects of human behaviour, of the motivational and attitudinal, and of the rational" (*Organisations*, New York, John Wiley, 1958, p.6). Further, a widespread sharing of behavioural knowledge will itself defeat any attempt at long-run manipulation of the individual against his growth and development.

The author is equally sceptical of the utility of "operations research" and points out that modern gadgetry of quantitative analysis, as also an over-intellectualised approach to decision-making, is very likely to lead to bad judgements. He seems to agree with Chester Barnard that "logical reasoning processes are progressively necessary but are 'disadvantageous if not in sub-ordination to highly developed intuitional processes'" and favours "a greater degree of self-consciousness in the decision-making process, ... accompanied by adequate attention to the non-logical elements, the artistry, the intellectual honesty, the values and all the other things Chester Barnard balances so skilfully" (pp. 137 and 145).

The apprehensions of Dimock in regard to 'operations research' are hardly justifiable. He himself points out that "administration is in part a logical intellectual pursuit; that setting objectives and figuring out how to attain them is a matter of rationality plus experience, and more than merely a matter of guess-work and intuition" (p.106). Modern statistical tools are designed to replace intuition and rules of thumb by intelligent judgement. These tools can be of great help in analysing

problems and developing alternative solutions; they cannot, however, assist in taking 'value' decisions. That decision-making in administration has to reckon with certain illogical elements, Dimock fully concedes (vide his reference to the views of Chester Barnard quoted above). The limitations of human cognition are equally emphasised by Herbert Simon when he says that "it is precisely in the realm where human behaviour is *intendedly* rational, but only *limitedly* so, that there is room for a genuine theory of organization and administration" (*Administrative Behaviour*, Introduction to the Second Edition, New York, Macmillan, 1957, p.xxiv).

An 'integral' philosophy of administration can ill-afford to ignore any of the different factors which go to make administration. A biological

approach to administration may be useful in explaining administrative growth and decay and in giving a sense of cohesion and meaning to administrative action but beyond a certain limit it is likely to undermine vitality rather than strengthen it. All conceptional schemes have limitations. Even the concept of biology has failed to explain all elements of life. Administration, if it is to come of age, needs a rationale, a philosophy, of its own but it can hardly be a philosophy which takes into account only the physiological and cultural aspects of administration and fights shy of scientific attempts to analyse, assess and integrate the complex and varied forces affecting human motivations, attitudes and rationality in administrative behaviour.

—B.S. Narula

BOOK NOTES

PATTERNS OF PERFORMANCE; By ELI GINZBERG and others, New York, Columbia University Press, 1959, xix, 340p., \$6.00.

This is the third complementary, and completing, volume of the comprehensive investigation into *The Ineffective Soldier: Lessons for Management and the Nation*—undertaken under the Conservation of Human Resources Project started at the Columbia University at the instance of General Eisenhower. The earlier two studies are: *The Lost Divisions* and *Breakdown and Recovery*. Extracting from the rich experience of World War II, the study brings out important lessons of value to the Armed Services, business, and the community at large. By examining in detail how men performed prior to their entrance into the Army,

between enlisting and breakdown, and after their return to civilian life, the Conservation staff has been able to secure new and important perspectives on the complex problem of performance.

Some important findings of the study of ineffectiveness of the American soldier during World War II which have pertinence to both military and civilian organisations are as follows: (1) As the number of men who must be screened to meet an organization's needs increases, less should be expected of the selection mechanism. As the assignments for which men are being selected become broader and less specific, the selection process will be less reliable. (2) Heavy reliance on a man's educational achievement as a criterion for assessing his potential

performance is justified up to a point because individuals without a specified minimum will be unable to cope with most assignments. But it is an error to read too much into a man's educational background. (3) The increasingly widespread practice in the U.S.A. of many organizations to rely on psychiatric assessments to evaluate a man's potential performance appears to be misguided. A man's emotional stability is only indirectly related to his ability to perform effectively. (4) One of the specific advantages which accrue to large organizations from their size is the opportunity to exploit the great range of their job opportunities for personnel development. (5) No organisation can elicit a high level of performance unless its personnel policies are attuned to the basic concepts of equity. (6) Trained people can never be secured on a moment's notice. They must be developed.

The study reveals the complexity of the individual, organizational, and environmental factors that influence performance. Often differences in the range, *i.e.*, quality, of performance, reflect not individual differences so much as variations in leadership and organizational policy. The environment, like an individual's characteristics or an organization's policy, can operate either positively or negatively to alter the range within which men perform.

The range of actions which the management of large organizations can take to control ineffective performance are reviewed in terms of the need to plan, the stability of policies, and the specification of policies and procedures. Long-range planning alone is not enough: the key to success lies in the quality of the plans. A basic stability in policy has a great impact on the individual's expectations and motiva-

tion. Large organizations are under the special necessity to govern through policy rather than through persons. Since in a large organisation, there cannot be personal relations between most of the work force and the management, the integrity of the people in responsible positions can be tested only by the way they act in the face of concrete situations involving members who have performed well or poorly. Lastly, some of the major values characteristic of a modern democratic society that dare not be ignored in the formulation and implementation of manpower and personnel policy are: "broadened opportunity, the balancing of equity and efficiency in the establishing of rewards, moderation in discipline, ... and the desirability of affording all who fail at least a second chance".

BEHAVIOR OF INDUSTRIAL WORK GROUPS—PREDICTION AND CONTROL; By LEONARD R. SAYLES, New York, John Wiley, 1958, viii, 182p., \$4.75.

Based on field data collected by the author during the period 1951-1955 from an examination of work records, interviews, and observations of 300 work groups in thirty plants in a variety of industries, the present study classifies the patterns of the long-run behaviour of industrial work groups into four categories—Apathetic, Erratic, Strategic and Conservative. Underlining the behaviour characteristic of each of these four groups, the author discusses in detail how the group behaviour, whether tending towards the passive or towards the continuously active, seems to be influenced by relatively objective variables, such as relative position on promotional 'ladders' of the plant, relative size and importance of the group, similarity of jobs within the group, the degree to which the work is indispensable in

the functioning of the plant or department, and the precision with which management can measure work-load and pace for the group. "The quality of the pressures exerted by such interest groups is affected, to a substantial degree, by the *internal organization of the work unit*, as determined, primarily, by the work flow and division of labour. Interdependence in the work process tends to be associated with the more spontaneous, sporadic kinds of outbursts. Sustained activity, which seems to be the product of carefully thought-through, long-run objectives, is more characteristic of independent, individual operations than of crew and assembly lines". Developing this thesis further in terms of its implications for managements and unions and bringing in the role of the informal groups and friendship cliques in matters of controlling work methods, out-put standards and prestige relationship, Prof. Sayles propounds the theory that the technology of the plant—the way jobs are distributed and flow into one another and the nature of the division of labour—moulds the types of work groups that evolve within the plant and exerts a major influence on the source of motivation and morale, *i.e.*, the work group. He also points out that we have tended mistakenly to place full responsibility on the supervisor for his group's behaviour; the behaviour of the supervisor is conditioned to a substantial degree by the reactions of the group. There are many facets of group behaviour which can more readily be related to the internal structure of the group and its relative position in the total plant structure than the behaviour of the supervisor. While Elton Mayo and other researchers on human relations in the thirties emphasised the workers' need for *social* satisfactions on the job and the studies at the Survey Research Centre at the Michigan

University have underlined the importance of the factor of group solidarity and success in attaining economic satisfaction, the author stresses that to explain the group behaviour "we need to relate the work structure (as determined by technology) and the associated social structure to their potential for economic interest grouping". The organisation of work contributes significantly to the behaviour of work groups; methods utilized by the group in accepting or challenging the actions of both management or unions are determinable; because quite contrary to the accepted maxim, the human element is a 'resultant of the technological decisions and, in part at least, predictable from them'.

IN-SERVICE TRAINING FOR SOCIAL AGENCY PRACTICE; By MARTHA MOSCROP, Toronto, University of Toronto Press, 1958, viii, 245p., \$7.50.

Drawing upon her rich experience as Supervisor of Staff Training and Development Programmes in the British Columbia Social Welfare Branch, Miss Moscrop has in this book extracted therefrom principles applicable to the experience and to the needs of social welfare agencies and executives in many different settings. The social workers employed by the Social Welfare Branch in rural and smaller urban communities of the British Columbia are "general practitioners." Half of them are qualified social workers; half are in-service trained. The book surveys the nature and scope of in-service training programmes, administrative considerations involved, recruitment practices and techniques, the nature and extent of teaching, the setting up of agency standards, the various forms of staff development and their adaptations and the

problem of evaluating trainees and staff. The need for in-service training for social agency practice arises from the never-ending shortages of staff professionally trained in social work. Underlining this need is the growing recognition of formal education in social work. There can be no effective application of methods of social work without a professional knowledge, understanding and intuitive skill of these methods. In-service training is conceived as that part of a social agency's total programme of staff development which prepares otherwise unprepared people to do the work for which they are employed. In-service training and staff development programme are inseparable. Further, programmes of in-service training and staff developments must be based on a firm conviction and decision about their usefulness on the part of the top management.

The author favours that supervisor with teaching ability should be given an assistant who could take over the handling of the details of administration—processing vouchers, managing the office, attending to the matters which concern the clerical staff. A supervisor with administrative ability should have an assistant who could teach. Miss Moscrop believes that administrative methods and professional methods are an integrated whole and that evaluations become a part of staff development only when those who are evaluated take part in them. The knowledge the social worker is called upon to possess is staggering. Among the qualities to be assessed in the recruitment interview are intelligence, character, relationships, interests, attitudes, motives. It is necessary for all social workers to recognise and resolve any conflicts they may have with their own families, as of all people, social workers should lead well-rounded lives.

THE DEPUTY COMMISSIONER—A STUDY IN PUBLIC ADMINISTRATION; By A.H. ASLAM. ed. Gerard M. Friters. Lahore, The Department of Political Science, University of the Panjab, 1957, vi, 58p., Rs. 3.

Tracing the origin and development of the office of the Deputy Commissioner, the study surveys his functions and duties (as Collector of revenues, as District Magistrate and as District Collector) in the context of changed economic and political circumstances since Independence. It finds that "concentration of (multifarious) duties in the hand of one official is by itself a fallacy and leads to inefficiency"; that a member of the Civil Service of Pakistan is more successful as Collector than his colleague from the Provincial Services; and that the behaviour pattern of the Civil Service are "conditioned by men whose outlook may, not unfairly, be described as 'snobbish'." Referring to duality of control exercised over the Deputy Commissioner—by the Commissioner and by the High Court—the author considers in some detail the question of separation of the judiciary from the executive.

With the growing interference by the politicians in his work, his decreasing control over the police, the decline in his influence with 'local' people based in the past on his erstwhile powers to recommend the grant of lands and titles, and the increasing strain "imposed by the chaotic conditions of the Secretariat" the Deputy Commissioner has "become an anachronism". (These facts obviously relate to conditions prevailing before the advent of the New Regime in October 1958.) The study underlines the importance of restoring to the Deputy Commissioner something of his old status, respect, independence and giving him increased

powers for exercising effective co-ordination and supervision and taking decisions on the spot.

GOVERNMENT AND POLITICS IN PAKISTAN; By MUSHTAQ AHMED, Karachi, Pakistan Publishing House, 1959, X, 265p., Rs. 10.75.

The book contains an attempt to analyse the forces that have been at work in the body-politic of Pakistan and their impact on her political and administrative institutions. There are interesting chapters, written in a historical perspective, on "Head of the State", "Cabinet and Prime Ministers" and "Political Parties". Part III, on "Civil Service", though significantly short, brings out the deterioration since 1947 in administrative standards—in matters of recruitment, integrity, competence and efficiency. "...far from being a privileged and secluded community as in the British period, the Civil Service in Pakistan tended to become a part of the wealthy class, leading a life of splendour and luxury completely out of tune with the general standards of living in the country". Again, "Servicemen became politicians by stepping into ministerial positions, and Ministers used their positions to enter state service. The officials developed a natural desire to protect the interests of their patron-politicians, and the politicians for patronising their favourite officials. Official interference in politics was but a consequence of these mutually beneficial adjustments." From Rs. 10 crores in 1948 the administrative expenditure had increased to over Rs. 30 crores in 1957, an amount roughly 25 per cent of revenue budget. The author attributes deterioration in administrative and political standards to the failure of political leadership and the supremacy of the landed aristocracy "which had converted the Republic of the People into a Repub-

lic of the Landlords." The last chapter deals with the achievements of the New Regime in the field of administrative and land reforms, refugee rehabilitation and the economic problems of Pakistan. A pronounced preference for the Presidential system, a strong and if possible a unitary Centre, educational qualifications for the membership of the legislature and recall of members by their constituents, we learn, are some of the dominant trends in its constitutional thinking for the future.

NEW TECHNIQUES FOR MANAGEMENT DECISION MAKING; By FRANKLIN A. LINDSAY, New York, McGraw-Hill Book Company, 1958, 173p., \$15.00.

This report is designed to give to managers an understanding of the capabilities and limitations of the new decision-making tools grouped under such titles as: operations research, systems analysis, probability theory, game theory, input-output analysis, and operational gaming. The report is divided into four parts: (1) An outline of the different ways the tools can be used, and an explanation of the central function of the mathematical model; (2) A description of the various analytical techniques presented in three groups; probability techniques, which are used in decision-making under conditions of uncertainty; programming techniques, which might be described as algebraic means of reaching rigorous mathematical solutions of problems involving the complex interaction of many variables; and simulation techniques, which are systematic trial-and-error means of solving problems and especially of finding the implications of different policies and alternative external events; (3) An examination of the actual and potential applications of these techniques to practical management problems; and (4) An evaluation of their usefulness

and limitations. Mathematical analysis, we are told, assists the executive in improving his decisions by increasing the number of alternatives that he can consider, by speeding up the decision-making processes, by helping him to evaluate the relative risks of bold and conservative courses, and by helping him to bring into optimum balance the many diverse elements of a modern enterprise.

OPERATIONS RESEARCH FOR INDUSTRIAL MANAGEMENT; By DIMITRIS N. CHORAFAS, New York, Reinhold Publishing Corporation, 1958, ix, 303p., \$8.75.

The book presents, explains and discusses some of the most recently developed analytical techniques in the area of managerial decisions, for making them more rational and for making the allocation of finite resources among competing alternative ends more effective. Operations research is defined as "a mathematical basis for study and analysis of engineering and management problems, for the purpose of making the soundest decision possible". In contrast to management by intuition or rule of thumb, and to the later development of the so-called management by patterns, operations research provides modern management with mathematical bases for decision and allo-

cation. Although the book avoids very elaborate mathematical formulae, some familiarity with mathematics is presupposed, since applied mathematics is the basis of operations research. The first two chapters cover the fundamentals of experimental model making, of game theory, of business simulation methods, and of strategic gaming. The latter is the latest in the field of operations research. Then are discussed some of the most basic analytical means of strategy formulation; these are followed by consideration of modern allocation methods; linear programming, transportation and flow, matrix analysis for production scheduling and inventory control. Two subjects included in the book which are the outcome of the writer's personal research are matrix analysis for production scheduling and inventory control and a mathematical model for management analysis. Distinguishing systems engineering from operations research, the author points out that systems engineering focuses on *strategic* objective analysis, judgement, synthesis, and rational design of complete and usually complex systems. Operations research, on the other hand, is concerned with *tactical* objective analysis of present and future operations, providing quantitative finding for management decision.

